RESEARCH ETHICS GUIDELINES

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ISBN

FIRST EDITION, 2015

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LIST OF ABBREVIATIONS AND ACRONYMS

CBD	Convention on Biological Diversity
CIOMS	Council for International Organizations of Medical Sciences
DRP	Directorate of Research and Publication
DPS	Directorate of Postgraduate studies
DVC	Deputy Vice Chancellor
FAO	Food and Agriculture Organization
GMOs	Genetically Modified Organisms
IAEA	International Atomic Energy Agency
IPPC	The International Plant Protection Convention
ISPMs	International Standards for Phytosanitary Measures
ITPGRFA	The International Treaty on Plant Genetic Resources for Food and Agriculture
LMOs	Living Modified Organisms
MRCC	Medical Research Coordinating Committee
NEMC	National Environment Management Council
NHRERC	National Human Health Research Ethics Review Committee
NIMR	National Institute for Medical Research Institute
OUT	Open University of Tanzania
PIC	Prior Information Consent
RPC	Research and Publication Committee
SUA	Sokoine University of Agriculture
ToC	Theory of Change
TPRI	Tropical Pesticides Research Institute
UDSM	University of Dar es Salaam
UNCLOS	United Nations Convention on the Law of the Sea20
UNFCCC	United Nations Framework Convention on Climate Change
UNISA	University of South Africa
WHO	World Health Organization

FOREWORD

Research is one of the core functions of The Open University of Tanzania (OUT). Research is undertaken to expand knowledge, discover the truth and provide evidence for practitioners, policy-makers and other stakeholders. The Open University of Tanzania like other universities all over the world has a role of making a significant contribution in achieving social and economic development through science and technology. This can be achieved through investing in research activities which will find solutions and contribute to the socio-economic development of the Tanzania by producing quantity and quality products through its core functions of teaching, research, development, innovation and community service. OUT recognizes that its image, reputation, and competitiveness, depend on the range and quality of its research performance. It is for this reason we recognize that fostering greater research integrity is a global concern and it is reflected within the scientific community and research funders, and for the general public the concern centres on the social value of scientific research.

The University therefore expects all members of its academic staff to be research-active as expected by the norms and standards of the discipline. Over and above the University encourages the development and, where appropriate, supports the formal recognition of research entities including small research communities, research groups, research centres and ultimately research centres of excellence for them to become a focal point of the University's research efforts and promotion. OUT strives to lead in research performance in the country, develop and consolidate its distinct research strengths and enhance its visibility and profile. The development of Research Agendas for departments, faculties and the university at large -- including the development of research guiding instruments/tools (i.e. Research guidelines and Operational Procedures) is a testimony of these effort.

While the OUT research policy calls for the establishment of technical research team, the University had no guidelines for its operation, monitoring and evaluation. These guidelines have been developed to address the existing gap. The primary responsibility for safeguarding the integrity of any research undertaken lies with the individual researcher. It is his/her responsibility to ensure that the work meets all professional standards as

outlined in this document. If such standards are not upheld, research misconduct may occur, the consequences of which may be widespread and extremely serious. Research misconduct may result in harm to research participants, loss of funding and damage of the individual's, the research teams and the University's reputation. We sincerely, believe that the chosen strategy is the right one for our institution and the country.

Finally, I wish to thank all the task force which has taken their precious time to develop these guidelines. It is my hope that these guidelines will be inspiration to researchers in promoting research integrity and in so doing inform evidence based decision making to transform socioeconomic development.

Prof. Elifas Tozo Bisanda
Vice Chancellor
The Open University of Tanzania
September, 2015

DEFINITION OF TERMS

Conflict of interests: is a situation whereby the personal interests and professional obligations converge such that an independent observer may doubt as to whether or not the individual professional actions are influenced by personal consideration, financial or otherwise.

Copyright: is the ownership and control of intellectual property in original work captured as a tangible form of expression from which it can be viewed, reproduced or otherwise communicated, whether directly or by means of a machine or device.

Informed consent: is permission granted in full knowledge of the possible consequences, typically that which is given by a researched community or individual respondent to a researcher with knowledge of the possible risks and benefits. Informed consent can be obtained from those subjects for any of their information, orally or in writing.

Integrity: is the quality of being honest and having strong moral principles.

Intellectual property: is an asset/possession that results from creations on human mind (the intellect).
Intellectual property rights: refers to economic and moral rights conferred upon the owner of intellectual property by the relevant government in exchange of the disclosure of such property to the public.

Research contract: refers to research projects performed for outside organization and that are regarded as part of researches services dispensation in terms of the provision of the rules for contract work of the university.

Research: refers to the original and systematic investigation undertaken in order to gain knowledge and understanding leading to new insight which can be effectively shared.

Researcher: refers to an individual taking part in conducting a research activity.

Research integrity: is referred to as the trustworthiness of research due to the soundness of its methods and the honesty and accuracy of its presentation.

Research Inquiry: in the context of this document research inquiry refers to questions, complaints or concerns about OUT research from a potential, past or current research subject, and concerns about the conduct of OUT research from OUT staff member (s). Inquiries may be in the form of in-person meetings, telephone calls, voice messages, emails, letters, faxes, or other mechanisms.

Research misconduct: refers to any practice that constitutes a serious deviation from what is generally accepted within the scientific community in the proposal submission, conducting research and report of findings.

Research Ethics: refers to moral principles that govern a person's or group's behaviour or norms for conduct that distinguishes between acceptable and unacceptable behaviour.

Participant in research: refers to individuals involved in conducting the research.

University means: The Open University of Tanzania unless otherwise stated.

Part One
INTRODUCTION

1.1 OVERVIEW
The University Act No. 7 of 2005 and The Open University of Tanzania Charter of 2007 among other things underlines the role of research and publication activities. The University has a responsibility of creating conducive environment to undertake relevant quality research activities. However, it is important to note that conducting any research (i.e. social and natural science researches) securing prior ethical clearance is a prerequisite in most research institutions worldwide. Such code of conduct for research ethics at national and at institutional level are responsible for guiding consideration of ethical aspects of various research activities.

The University find it necessary to have a code of conduct for research ethics because Tanzania is part of the international conventions that require ethical considerations in research. Further Tanzania has national laws that demand that demand ethical consideration. The university is expanding rapidly in its activities including increased research activities to meet the increasing demand for national and global research and development. The university research agenda and strategies are well stated in the research policy. The coordination of research activities is undertaken by Directorate of Research and Publication. However, whereas the Directorate of Research and Publication (DRP) is responsible for monitoring and evaluating compliance with ethical conduct of research, the university has no approved document which guides the behaviour of researchers when conducting research activities. All staff, students visiting fellows, and scholars, and persons holding discretionary titles of The Open University of Tanzania (OUT), who are involved in the conduct of research associated with the University. Given a large scale of research undertaken by the university including, all staff, students visiting fellows and scholars who are involved in the conduct of research associated with the University. It is for this reason there is a dire need for a code of conduct for research ethics to guide researchers.

1.2 RATIONALE
Research guidelines are important for all research undertakings. The University undertakes various research activities which - directly or indirectly affect humans, people's properties, and environment, economic and social issues all of which need to be regulated. These guidelines will

help researchers and the research community to be cognizant of their ethical views and attitude, raise their awareness of ethical standards, promote good judgment and enhance their ability to make well research based decisions. Furthermore, the existence of these guidelines will not only promote ethical and scientific intellectual culture among its academic staff and students, but also help to protect rights and interests of human participants.

In addition, some donors or development partners funding research requires ethical clearance as prerequisite for approving requests for financial and material support for research projects. Similarly, some collaborative research projects involving other institutions require ethical clearance of all collaborating institutions. In order to facilitate compliance to the above requirements it is in order for a university to have guidelines which provides the modalities for developing such clearance within the institution or in collaboration with approved authorities.

1.3 OBJECTIVES

The general objective of these guidelines is to establish the framework for research ethics to ensure that all university research activities are conducted ethically and in conformty to accepted ethical standards. Specifically these guidelines aim at meeting the following objectives:

(a) To enable researchers to enhance their capability to undertake ethical research and maintain their independence, particularly in circumstances when confronted with undue influence which may compromise their integrity
(b) To encourage ethical research practice
(c) To demonstrate a commitment to high quality, transparent and accountable research ethics throughout the university from senior management policy makers to the practicalities of individual staff and student research projects
(d) To provide guidance on research ethics for all staff and students
(e) To promote University research culture based on defendable standards of research practice
(f) To preserve and promote the autonomy, quality, legitimacy and credibility of research.
(g) To protect and promote the rights of research participants and honour their trust in researchers and research

To enhance the university reputation with the general public and wider society, within the academic profession, funding bodies and external auditors.

Part Two

GUIDELINES FOR RESEARCH MANAGEMENT PRACTICES

2.1 Guidelines for Research Involving Humans

Ethical research and knowledge transfer activities involve a fundamental duty of care to subjects and participants. Researchers must show respect for human dignity in their choice of topic, in relation to their research subjects, and in reporting research results. This includes ensuring such conditions as confidentiality and anonymity, informed consent, treatment with dignity, avoidance of harm or deception, and appropriate dissemination. The physiological, psychological and social well-being of, and avoidance of deleterious consequences for, the research participant should always be a significant consideration of the researcher or research team. All human related research activities must be approved by DRP before the research study commences. These include:

(i) Interaction with human subjects

(ii) The use of potentially identifiable personal records or information

(iii) Use of human organs, tissue specimens, progenitor or stem cells

(iv) Testing drugs, food or nutritional supplements

Such research activities must comply with the following principles:

(i) Research must be relevant to the needs and interests of the community in which the study is conducted.

(ii) Research must have a valid scientific methodology.

(iii) Researchers must ensure a fair selection of research participants.

(iv) All research involving human subjects must include Tanzanian researcher(s).

(v) Researchers shall work on the basis of basic respect for human dignity and are obliged to respect their subjects' integrity, freedom and right to participate.

(vi) Any research must be preceded by a thorough risk analysis to prevent research subjects from being exposed to harm or other suffering.

(vii) Research subjects should be given all the information they require to gain a reasonable understanding of the field of research in question of the consequences of participating in the research project, and of the purpose of the research. Subjects shall also be informed about who is funding the research.

(viii) Researchers are responsible for explaining to their subjects the limitations, expectations and requirements that pertain to their roles in research.

(ix) Research projects that include individuals can be initiated only after securing subjects' free and informed consent. The subjects have the right to withdraw from the participation at any time, without this entailing any negative consequences for them.

(x) Research subjects are entitled to a guarantee that all information they provide about their private lives will be treated confidentially. Researchers must prevent the use and dissemination of information that could harm individual research subjects.

(xi) Identifiable personal data collected for one particular research purpose cannot be automatically used for other research. Such data must not be used for commercial or administrative purposes. Consent of the subjects must be obtained before using data for any other purpose than originally assented.

(xii) Data related to identifiable individuals shall be stored responsibly. Such data shall not be stored any longer than what is needed to attain the objective for which it was processed. Research subjects are entitled to be able to check whether confidential information about them is accessible to others.

(xiii) Researchers must show respect to the values and views of research subjects, even if they differ from those generally accepted by the society at large. Researchers should not ascribe irrational or unworthy motives to anyone without providing convincing arguments for doing so.

(xiv) Research involving children should ensure that they are entitled to special protection commensurate with their age and needs. In addition, the human dignity of children is honoured and their rights and wellbeing are respected in all research, regardless of context.

(xv) Research involving people with disabilities and special needs should ensure that, their assent or consent is obtained. Handle careful relationship that develops during research process. Avoid distressing conditions and emotions and that their human dignity is honoured and their rights and wellbeing are respected in all research, regardless of context.

(xvi) Caution shall be exercised when deceased people are the subject of research. The fact that the deceased can no longer raise objections does not reduce the requirement for meticulous documentation. Out of respect for the deceased and their surviving relatives, researchers

must choose their words with care. Graves and human remains must be treated with the utmost respect where research is concerned.

(xvii) Researcher should consider and anticipate effects on third parties that are not directly included in the research.

(xviii) Where relevant researchers must comply with Guidelines for conducting clinical trials in Tanzania (2011) and other relevant guidelines provided under section 63(1) of the Tanzania Food, Drugs and Cosmetics Act (2003).

(xix) All human health research projects must be submitted to the Medical Research Coordinating Committee (MRCC) through National Human Health Research Ethics Review Committee (NHRERC) hosted at the National Institute for Medical Research Institute (NIMR) until when the University establishes its own approved review body.

(xx) Where relevant researchers must comply with International Ethical Guidelines for Biomedical Research Involving Human Subjects (2002) as provided by the Council for International Organizations of Medical Sciences (CIOMS) and World Health Organization (WHO).

(xxi) Researchers should observe and respond to ethical regulations and guidelines as may be stipulated by various documents issued by relevant International bodies, Ministries and Local Government Authorities.

2.2 Guidelines for Research Involving Non-humans

Usingnon-human primates in research raise special ethical and welfare issues. The research examines a broad range in applied areas. Important parts of such work are teaching and research on the behaviour of nonhuman animals, which contribute to the understanding of basic principles underlying behaviour and to advancing the welfare of both human and nonhuman animals. While researchers are conducting their teaching and research in a manner consonant with relevant laws and regulations, ethical concerns further mandate that researcher must consider the costs and benefits of procedures involving animals before proceeding with these activities.

2.2.1 Guidelines for Research Involving Animals

The use of animals in scientific research can only be justified if the benefits to both humans and animals outweigh the potential harm to the animal subject. Justification for causing psychological or physical distress, illness or pain to animals should not be based on any explicit or implicit assumption that animals experience these conditions in qualitatively

different ways to humans. Before commencement of any research, a formal evaluation of the potential harm to the research subjects against benefits to animals/mankind must be undertaken and reported when seeking research ethical clearance.

All research involving animals and animal products must comply with relevant National Policies and acts of legislation. Such policies include The National Livestock Policy (2006) and Wildlife Policy (2007) and Fisheries Policy. Legislations which must be adhered to when conducting research on animals and animal products include but not limited to, the Wildlife Conservation Act (2009), The Veterinary Act (2003), Fisheries Act (2003), The Animal Diseases Act (2003), The Beekeeping Act (2002), The Meat Industry Act (2006), The Animal Welfare Act (2008), and the Grazing Land and Animal Feed Resources Act (2010).

In addition to compliance to legal provisions, all animal research conducted under the auspices of this University should uphold the "Three R" principles for humane animal research, namely:

(i) Replacement of animals, wherever possible, with research models or systems in order to eliminate unnecessary use of animals.
(ii) Reduction of the numbers of animals in experiments by designing strategies that facilitate use of the smallest number that will allow valid information to be obtained from the study.
(iii) Refinement of animal sourcing, care, experimentation and disposal procedures to eliminate physical and psychological distress within limitation imposed by the objectives of the research.

In addition to the principles listed above, researchers conducting research on animals and animal products shall adhere to relevant professional codes of conduct provided by various International and National professional bodies such as Code of Professional Conduct and Ethics for Veterinarians and Veterinary Specialists (2005). DRP shall have mandate and responsibility to oversee and monitor the care and use of all laboratory and other animals kept under the auspices of the University.

2.2.2 Guidelines for Research Involving Plants and Plant Products

All researchers undertaking research on plants and plant products must ensure that they familiarize themselves with current National Agriculture Policy, Forest Policy, Environmental Policy and other relevant policies To ensure compliance with appropriate phytosanitary procedures researchers must observe and adhere to provisions of acts of legislation guiding and

regulating research conducted on plants and plant products. Such acts include Plant Protection Act (1997), The Seeds Act (2003), The Protection of New Plant Varieties/Plant Breeders Rights Act (2002), The Tropical Pesticides Research Institute Act (1979), The Fertilizers Act (2009), The Environment Act (2004) and The Food Security Act (1991).

In addition to national policies and laws, international treaties, conventions, commissions and advisory bodies play a major role in international cooperation for plant production, protection and food security. Researchers working in this area need to acquaint themselves and comply with the provisions treaties and conventions which the country has acceded to. Such agreements include:

(i) **The International Plant Protection Convention (IPPC)** which sets standards for the safe movement of plants and plant products to prevent the spread of plant pests and diseases internationally. Compliance with IPPC obligations and International Standards for Phytosanitary Measures (ISPMs) is a vital element in countries' food security and ability to trade internationally. These standards are important as they allow for the protection of domestic consumers, producers and the environment from the risks of introduced pests, and help exporters demonstrate that their products are safe.

(ii) **The International Rice Commission (1949)** aims to promote national and international action in matters relating to the production, conservation, distribution and consumption of rice.

(iii) **The International Treaty on Plant Genetic Resources for Food and Agriculture (ITPGRFA)** of 2004 is an international agreement with the overall goal of supporting sustainable agriculture and global food security. The Treaty, allows governments, farmers, research institutes and agro-industries to work together by pooling their genetic resources and sharing the benefits derived from their use. The fair sharing of benefits arising from the use of these resources has for the first time been practically implemented at the international level through its Multilateral System and its Standard Material Transfer Agreement.

(iv) **The International Code of Conduct on the Distribution and Use of Pesticides (1985)** was one of the first voluntary Codes of Conduct in support of increased food security, while at the same time protecting human health and the environment. The Code established voluntary

standards of conduct for all public and private entities engaged in, or associated with, the distribution and use of pesticides, and since its adoption has served as the globally accepted standard for pesticide management.

(v) **The FAO Regional Commissions for Locust Control** is a major international collaboration for the exchange of data regarding actual and potential locust upsurges between neighbouring countries. The information is especially useful for control of trans-boundary plant pests and diseases.

(vi) The Cartagena Protocol on Bio safety to the Convention on Biological Diversity is an international agreement which aims to ensure the safe handling, transport and use of living modified organisms (LMOs) resulting from modern biotechnology that may have adverse effects on biological diversity, taking also into account risks to human health. It was adopted on 29 January 2000 and came into force on 11 September 2003.

No researcher of plants or plant products shall be allowed to deviate from the provisions of the policies, legislations and international conventions and treaties. To ascertain compliance, research involving plants and plant products must be subjected to review and approval of SR&PC prior to commencement of the project.

2.2.3 Guidelines for Research Involving Conduct and Handling of Hazardous Materials

Hazardous chemicals such as pesticides, poisons, radioactive materials, carcinogens, mutagens, teratogens and inflammable materials are increasingly being used in research. The use of such materials in the laboratory and field, as well as their disposal should be properly controlled in order to protect workers, the public, animals and the environment. All research involving hazardous materials that could potentially cause harm to humans, animals and/or the environment must be submitted to DRP for clearance. Researchers working on such materials must ensure they familiarize themselves and comply with appropriate safety and containment procedures as provided in relevant International and National regulations and guidelines. Such researches include:

(i) Radioactive Materials

Extreme care should be observed when handling radioactive materials. Researchers should sustain strict adherence to safety and containment

Regulations as provided by International Atomic Energy Agency (IAEA), National Atomic Energy Act (2003) and Regulations governing handling of radioactive material (2011).

(ii) Recombinant DNA techniques and genetically modified organisms (GMOs) or Living Modified Organisms (LMOs)

Before embarking on research on genetically modified organisms (GMO), researchers should understand the legislatives provisions and global protocols governing bio-safety issues. Such protocols include Cartagena Protocol on Biosafety to the Convention on Biological Diversity (2000) which provides an international regulatory framework to reconcile the respective needs of trade and environmental protection with respect to a rapidly growing global industry, the biotechnology industry. The Protocol thus creates an enabling environment for the environmentally sound application of biotechnology, making it possible to derive maximum benefit from the potential that biotechnology has to offer, while minimizing the possible risks to the environment and to human health. Pathogenic organisms (The Plant Protection Act and regulations (1997), The Seeds Act (2003) and The Animal Diseases Act (2003).

(iii) *Exotic plants, animals and microorganisms* (The Plant Protection Act (1997), Seeds Act (2003)

(iv) Research which may potentially cause harm to the natural environment

In addition to the Regulations provided in the National Pesticide Management Act and guidelines issued by the Tropical Pesticides Research Institute (TPRI) researcher should be aware of the Rotterdam Convention which covers international trade in certain hazardous chemicals with the aim of protecting human health and the environment. The Convention also contributes to the environmentally sound use of these chemicals, with exchange of information about their characteristics, by providing for a national decision-making process on their import and export and by disseminating these decisions to Parties.

Research involving material prohibited by law or government order Researchers should refrain from conducting research using materials which are bannered by the law or restricted by government order or any other legal provision.

2.3 Guidelines for Research Involving Conduct and Handling of Hazardous Materials

The DRP will be responsible for ensuring that all research is carried out with the necessary respect for the impact that it could have on environment. Where a scientific investigation involves the physical, biological or spatial environment as subject of investigation or otherwise, the researcher should comply with relevant International Conventions, the National Environmental Management Act (2004) and guidelines and regulations provided by the National Environment Management Council (NEMC).

The following are some prominent International Conventions, which researchers need to be aware of and comply to:

(i) **Ramsar Convention on Wetlands of International Importance (1975**) aims at stemming the loss of and promoting the wise use of all wetlands. The convention addresses one of the most important issues in Tanzania, namely the conservation of the country's water supplies for the use of both the natural and the human environments.

(ii) **Convention on Biological Diversity (CBD) of 1993** which aim at effective international cooperation in the conservation of biological diversity and to promote the sustainable use of living natural resources worldwide. It also aims to bring about the sharing of the benefits arising from the utilization of natural resources.

(iii) **United Nations Framework Convention on Climate Change (UNFCCC) of 1993** addresses the threat of global climate change by urging governments to reduce the sources of greenhouse gases. The ultimate objective of the convention is to stabilize greenhouse gas concentrations in the atmosphere at a level that would prevent dangerous interference with the climate system of the world.

(iv) **Basel Convention on the Control of Transboundary Movement of Hazardous Wastes and their Disposal (1994)** provides restrictions on transboundary movement and disposal of such waste. It also aims to ensure that any transboundary movement and disposal of hazardous waste, when allowed, is strictly controlled and is undertaken in an environmentally sound and responsible way.

(v) **Rotterdam Convention on Prior Information Consent (PIC) of 1998** ensures obligatory detailed information exchange between countries on hazardous chemicals and pesticides allowing informed

decision making. World Heritage Convention Concerning the Protection of the World

(vi) **Cultural and Natural Heritage18 of 1972** aims to promote cooperation among nations to protect all forms of natural and cultural heritage that are of such outstanding universal value that their conservation is of concern to all people.

(vii) **Montreal Protocol for the Protection of the Ozone Layer19 (1990)** aims at ensuring measures to protect the earth's ozone layer.

(viii) **United Nations Convention on the Law of the Sea 20 (UNCLOS) of 1982** represents a codification of international law rules for states to observe in marine-related operations.

2.4 Rights and Responsibility of Researchers

Researchers must foster and maintain a research environment of intellectual honesty and integrity, and scholarly and scientific rigour. Researchers must: respect the truth and the rights of those affected by their research manage conflicts of interest so that ambition and personal advantage do not compromise ethical or scholarly considerations adopt methods appropriate for achieving the aims of each research proposal follow proper practices for safety and security cite awards, degrees conferred and research publications accurately, including the status of any publication, such as under review or in press promote adoption of this Code and avoid departures from the responsible conduct of research conform to the policies adopted by their institutions and bodies funding the research.

2.4.1 Integrity in Research

(i) Researchers have the fundamental right to freedom of scientific research.

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

(iii) Researchers have a right, as well as a duty, to refrain from undertaking or continuing any research that contravenes the Policy on Research Ethics, violates the integrity and/or validity of research and/or compromises their autonomy in research. If they feel that the policy or ethical principles are being violated, or that the study is unethical, they should make all possible efforts to make corrections. These would include reporting to the relevant Unit Ethics Review

Committee. In the event of failure of remedial measures they should terminate the study or end their involvement in it.

(iv) Researchers may undertake only such research involving human participants, animals, other living or genetically modified organisms as has been approved by an appropriate Ethics Review Committee.

(v) Researchers should undertake only such research as, according to their understanding, will benefit society and contribute to knowledge on the subject. They are advised to use resources judiciously and to avoid the unnecessary duplication of research.

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

(vii) Researchers should not undertake secret or classified research. `1Any secret assignment under the guise of research or research whose findings are to remain confidential. They should endeavour to convince their client(s)/sponsor(s)/funder(s) of the importance of publishing research findings in scientific journals.

(viii) Researchers have a responsibility towards those involved in or affected by their work. They should make reasonable efforts to anticipate and to guard against the possible undesirable or harmful consequences of research. They should take reasonable corrective steps when they come across misuse or misrepresentation of their work.

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

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

2.4.2 Relationship among Researchers

(i) Principal researchers are responsible for the ethical conduct of research by juniors, assistants, students and trainees under their supervision. At the same time juniors, assistants, students and trainees have a responsibility to act ethically and to observe the Policy on Research Ethics.

(ii) Juniors, assistants, students and trainees have a right to receive, and principal researchers have a responsibility to provide, proper training and guidance on all aspects of research, including ethical conduct. The principal researchers should delegate to juniors, assistants, students and trainees only those responsibilities that they are reasonably capable of performing on the basis of their education, training or experience, either independently or under supervision.

(iii) Researchers should not engage in discriminatory, harmful or exploitative practices or harassment. They should not impose their views or beliefs on or try to seek personal, sexual or economic gain from anybody, including other researchers, juniors, assistants, trainees or students.

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

(v) Researchers and students, other individuals such as administrative employees of OUT who may have access to data or identifying information, should be briefed on ethical issues and the Policy on Research Ethics, including the participants' right to confidentiality.

2.5 Authorship and Dissemination

The guidelines and definitions of authorship provided by various professional organizations offer general conceptualizations and provisions for researchers. As such, they may not offer comprehensive or unambiguous definitions, and collaborators must further discuss and reach consensus on certain issues, such as identifying what constitutes a scientific contribution, how authorship order is decided upon, and how to engage in the process of authorship determination.

2.5.1 Data Sharing

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

(ii) Data which do not identify participants and which are in the form of anonymous[4] or abstracted facts may be commonly shared, if necessary even before publication of the study, among researchers and peer reviewers, and may be made available to the public.

(iii) As far as possible, researchers should ensure that relevant findings of the research are taken back to the research participants or communities in a form and manner that they can understand, and which will not cause them harm.

2.5.2 Reporting and Publication of Research

(i) Reporting of research findings advances scientific knowledge. Researchers who conducted the study have the right and the duty to publish research findings in scientific journals, books or other media. When they agree to delegate this responsibility to other individual(s) or organization(s) they should do so only if they have received a mutually agreed commitment to publish or disseminate the results within an agreed period, with an agreed content and in an agreed manner.

(ii) Where there is a conflict between the advance of scientific knowledge and the protection of intellectual property (e.g. by way of patents) researchers should endeavour to convince the patent holder of the importance of publishing research findings.

(iii) If a client/sponsor/funder requires non-publication of results carried out on humans, animals, or other living or genetically modified organisms, or that it must give prior approval for the manner and content of reporting, such research proposal may be disapproved by the relevant Ethics Review Committee. If the request not to publish is based on strategic or other reasonable grounds, the committee may consider non-publication of results for no more than one year following the completion of research. Input from the relevant college/institute/centre should be sought where there is a request not to publish.

(iv) The results should be reported irrespective of whether they support or contradict the expected outcome(s).

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

(vi) Researchers should in their publications explain the methodology used, as well as how ethical dilemmas encountered were resolved.

(vii) The following guidelines should be followed for giving authorship credit while reporting the research in any form:

  (a) Authorship, and its sequence in case of more than one author, should be based on the quantum of contribution made in terms of ideas, conceptualization, and actual performance of the research, analysis and writing of the report or any publication

based on the research. Authorship and its sequence should not be based on the status of the individual in the institution or elsewhere.

(b) All other individuals not satisfying the criteria for authorship but whose contribution made the conduct and completion of research or publication possible should be properly acknowledged.

(c) A student should be listed as principal or first author on any multiple-authored publication that substantially derives from the student's dissertation or thesis.

(d) When data or information from other studies or publications is quoted or included, appropriate credit should be given.

(e) When results are disseminated through the popular media, researchers should endeavor to ensure that media people comprehend the limitations and implications of research results, and that distortions and misrepresentations in media reporting are minimized.

2.6 Conflict of Interest and Commitment

A conflict of interest may arise when activities or situations place an individual or institution in a real, potential or perceived conflict between the duties or responsibilities related to research, and personal, institutional or other interests. These interests include, but are not limited to business, commercial or financial interests pertaining to the institution, and/or the individual, their family members, friends, or their former, current or prospective professional associates.

2.6.1 Institutional Conflict of Interest

Institutions involved in research hold trust relationships with participants, research sponsors, researchers and society. These institutions may have financial or reputational interests including, but not limited to, the provision of education and the promotion of research that conflict with the institution's obligations to protect and respect human dignity as characterized by the core principles of this Policy.

Open University of Tanzania should consider the following measures to address conflicts of interest at the institutional level that are germane to research involving humans:

(i) Create central institutional mechanisms, such as a competent institutional authority, a conflict of interest committee, or other

delegated bodies within the institution to help identify, eliminate, minimize or otherwise manage conflicts of interest.

(ii) Refine or redesign roles, responsibilities, and reporting lines to eliminate, minimize or manage the potential for conflict of interest.

(iii) Prevent or minimize conflict of interest in institutional design and structuring when creating new roles, responsibilities or relationships.

(iv) Apply barriers to insulate potentially conflicting roles and responsibilities.

(v) Require that individuals involved in the conduct of research withdraw from, or not participate in, roles or functions unduly compromised or disabled by any real, potential or perceived conflict.

2.6.2 Researcher Conflict of Interest

Researchers and research students hold trust relationships, either directly or indirectly, with participants, research sponsors, institutions, their professional bodies and society. These trust relationships can be put at risk by conflicts of interest that may compromise independence, objectivity or ethical duties of loyalty. Although the potential for such conflicts has always existed, pressures on researchers (e.g., to delay or withhold dissemination of research outcomes or to use inappropriate recruitment strategies) heighten concerns that conflicts of interest may affect ethical behaviour.

Researchers' conflicts of interest may arise from interpersonal relationships (e.g., family or community relationships), financial partnerships, other economic interests (e.g., spin-off companies in which researchers have stakes or private contract research outside of the academic realm), academic interests or any other incentives that may compromise integrity or respect for the core principles of this Policy. Conflicts may arise from an individual's involvement in dual and multiple roles within or outside an institution. While it may not be possible to eliminate all conflicts of interest, researchers are expected to identify, minimize or otherwise manage their individual conflicts in a manner that is satisfactory to the DRP. The following should be done to resolve the researcher conflict of interest:

(i) All research proposals must be submitted to DRP for review before submitted to donors

(ii) Researchers shall disclose in research proposals they submit to the DRP any real, potential or perceived individual conflicts of interest, as well as any institutional conflicts of interest of which they are aware that may have an impact on their research.

(iii) DRP shall determine the appropriate steps to manage the conflict of interest.
(iv) The DRP, guided by established institutional policies, may require that the researcher withdraw from the research, or that others on the research team, who are not in conflict of interest, make research-related decisions.
(v) In exceptional cases, the DRP has the discretion to refuse approval of a research project where the DRP decides that the conflict of interest has not been avoided or cannot be appropriately managed.

2.7 Collaborative Research

Researchers have a responsibility to establish and maintain close collaboration and clear understanding of respective roles and responsibilities of each collaborator. Such collaboration should be established at the beginning of the research project as stipulated in OUT intellectual property rights (IPR) policy. Research collaborators include:
(i) Clients or sponsors
(ii) The society and the government
(iii) Fellow researchers
(iv) Students

What can be done:
(i) Before submission of a collaborative research proposal to DRP, agreement should be reached between the host research institution and the collaborating institution on all aspects of the research. These include sharing of intellectual property rights, management of the research process, data management, the fate of data and research specimens, division of responsibilities, finances, research output, publication strategy, sharing of benefits and burdens, development of infrastructure and research capacity in the host country, and a public advocate to settle disputes.
(ii) Intellectual property rights of all parties should be respected and acknowledged as agreed on before the research commenced.
(iii) Research may not be carried out at OUT without local research collaboration in the design and conduct of that research.

2.8 Peer Review

Peer review - in all its forms, plays an important role in ensuring the integrity of the scholarly record. The process depends to a large extent on trust, and requires that everyone involved behaves responsibly and ethically. Peer reviewers play a central and critical part in the peer-review process,

but too often come to the role without any guidance and may be unaware of their ethical obligations. Apart from ethical review, peer review is an essential part of research. The purpose of peer review is to improve and advance research, and to facilitate observance of ethics. OUT researchers should be encouraged to subject their own work to such a process. In addition, OUT researchers should be encouraged to make themselves available as peer reviewers for research in the fields in which they have adequate knowledge and expertise.

The Ethical Guidelines for Peer Reviewers set out the basic principles and standards to which all peer reviewers should adhere during the peer-review process. It is hoped they will provide helpful guidance to researchers, be a reference for journals and editors in guiding their reviewers, and act as an educational resource for institutions in training their students and researchers.In order to achieve quality research and publications peer reviewers must adhere to the following principles;

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

(ii) If peer reviewers have any actual or potential conflicts of personal or professional interest with the work under review which could jeopardize their ability to undertake the review in a scientific and ethical manner, they should either disclose the same or decline to review the work concerned. In such situations, their role should be decided on the basis of the type and severity of the conflict of interest.

(iii) When misconduct or violation of ethics is discovered, the peer reviewer should take appropriate steps to report it to the editor.

(iv) Reviewers should only agree to review manuscripts for which they have the subject expertise required to carry out a proper assessment and which they can assess in a timely manner.

(v) Reviewers must respect the confidentiality of peer review and should not reveal any details of a manuscript or its review, during or after the peer-review process, beyond those that are released by the journal.

(vi) Reviewers should not use information obtained during the peer-review process for their own or any other person's or organization's advantage or to disadvantage or discredit others.

(vii) Reviewer must declare all potential conflicting interests, seeking advice from the journal if they are unsure whether something constitutes a relevant interest.

(viii) Reviewers not allow their reviews to be influenced by the origins of a manuscript, by the nationality, religious or political beliefs, gender or other characteristics of the authors, or by commercial considerations

(ix) Reviewers must be objective and constructive in their reviews, refraining from being hostile or inflammatory and from making libellous or derogatory personal comments

(x) Reviewers must acknowledge that peer review is largely a reciprocal endeavour and undertake to carry out their fair share of reviewing and in a timely manner

(xi) Reviewers have to provide journals with personal and professional information that is accurate and a true representation of their expertise

(xii) Reviewers must recognize that impersonation of another individual during the review process is considered serious misconduct

2.9 Principles of Data and Material Management

Acquisition of data is a valuable research resource that needs guidance to inform researcher's obligations in its collection, use, storage, sharing, and ownership and in particular, subsequent disposal. This is similar with materials collected for research purposes. Research materials may have an additional potential use in future (such as biological samples) and it is important that specific guiding principles are developed to ensure that the re-use of these materials is guided by principles that have in addition, ethical considerations, including principles of autonomy, informed consent and the right to confidentiality.

In this case, the University is responsible for:

(i) Research materials and data and the research records created or developed by researchers and the intellectual property in and associated with these are owned by the University, unless otherwise agreed in writing between the researchers and the University or the University and third parties.

(ii) The University will remain custodian of research materials and data acquired through research undertaken by its researchers, as defined in this policy, unless those research materials and data are owned by a third party or subject to a formal collaborative agreement.

(iii) If a researcher moves from OUT, research materials and data must remain at OUT unless there is a written agreement produced through the OUT Legal Office that states otherwise

(iv) Where a research project is undertaken in collaboration with another institution, any written agreement should cover the ownership, storage, retention and disposal of research materials and data.
(v) Data may be transferred to a nationally controlled inter-institutional database to facilitate collaborative research across institutions.
(vi) Researchers may place restrictions on access to research data in accordance with this policy and its related procedures but are encouraged to make the data as openly and available as possible.
(vii) The metadata store must include information to enable identification of any restrictions on access to research data.
(viii) Disposal of research materials and data must not occur prior to the expiration of the appropriate retention period as identified in this policy or prior to the resolution of any challenge to the results of the research, whichever is the longer period.
(ix) Disposal of research materials and data must be in compliance with legislative, ethical, confidentiality, contractual and OUT policy requirements.

2.10 Monitoring and Evaluation

Monitoring and evaluation forms the basis for clear and accurate reporting on the results achieved by an intervention (project or program). In this way, information reporting is no longer a headache, but becomes an opportunity for critical analysis and organizational learning, in forming decision-making and impact assessment. The following must be adhered to when M&E applies to university research:

(i) The DRP must collect information, monitor target audiences and make judgments. Any systems developed should ensure that information collected can have multiple uses (e.g. both for decision-making and, later, reporting), and that it is integrated with, and draws on, any information or knowledge produced during the planning stage of a project.
(ii) It is important to develop some kind of theory of change (ToC) as early as possible in the planning stage of an influencing project. This sets the overall framework for M&E, giving teams a way to categorize and make sense of available information throughout the project, and a basis for more in-depth studies by external evaluators during or after the intervention.
(iii) A number of well-known tools can be used to collect relevant data opportunistically or at periodic intervals throughout the policy influencing work. If these can be selected and integrated into program management from the outset, they will be useful for decision-making

throughout the work, and become a useful resource to be visited after the end of a project.

2.11 Research Clearance and Personal Consent

Whatever the research topic, there will be issues that relate to the ethical practices of the research that it is proposed to undertake. Whilst members of the University have academic freedom under law, they are expected likewise to exercise that freedom in a responsible and ethical manner. It is essential that when a research proposal is being developed that the researcher utilise a 'Checklist of Ethical Principles for Research' (see Annexure A) as a means of ensuring that all pertinent issues have been considered. In this respect the Checklist is a necessity. It is not a question of right or wrong answers but a question of appropriate answers for the research you wish to undertake. If you are a student then you should share your responses to the Checklist with your Supervisor. For a researcher to achieve good ethical practices he or she should carry out the followings steps;

(i) For detailed interviews or research where personal, sensitive or confidential data are gathered, the use of written consent forms is recommended to assure compliance with the Data Protection Act of 2014 and with ethical requirements. Written consent documentation typically includes an information sheet and consent form signed by the participant.

(ii) For surveys or informal interviews, where no personal data are gathered or personal identifiers are removed from the data, obtaining written consent may not be required. At the minimum, an information sheet should be provided to participants detailing the nature and scope of the study, the identity of the researcher(s) and what will happen to the data collected (including any data sharing).

(iii) If data are collected verbally through audio or video recordings, verbal consent agreements can be recorded together with the data.

(iv) For audio-visual data where the identity of people may be disclosed from the data, it may be important that informed consent is obtained to use the data unaltered for research purposes, sharing and preservation. Voice alteration or image blurring are usually labour and cost intensive and may decrease the research potential of data.

Written consent should be gained wherever possible to ensure that information is being collected and provided in a consistent and uniform way. It may also serve to protect both researchers and participants should any form of dispute arise.

Part Three

GUIDELINES FOR OUT ETHICS REVIEW COMMITTEE

3.1 Composition ethics committee at OUT

The research ethics committee at OUT shall be composed of the following officers:

Director of Research and Publications	-	Chair person
Research coordinator	-	Secretary
Director of Postgraduate Studies	-	Member
Director of Quality Assurance	-	Member
Faculty Associate deans	-	Members
Associate research coordinator	-	Member
Two appointed specialists	-	Members
Director of the Institute of Continuing Education	-	Member
Director of the Institute of Educational and Management Technologies	-	Member
Director of Library Services	-	Member
University Legal Officer	-	Member

3.2 Core Values and Approach

Statement of Core Values: Our University's mission includes high standard expectations of values. The core values underlying and reflected in this Policy include: honest, respect (for self and others), trust, responsibility, and fairness.

(i) **Academic honesty** is demonstrated by researchers by not cheating intentionally or not attempting to use unauthorized materials, information, notes, study aids or other devices or materials in any academic exercise.

(ii) **Respect** for others in research and learning process to demonstrate academic honesty.

(iii) **Trust** in others to act with academic honesty as a positive community-building force.

(iv) **Responsibility** is recognized by all to demonstrate best effort to prepare and complete research and any academic tasks.

(v) **Fairness** and equity are demonstrated so that every research stakeholder can experience an academic environment that is free from the injustices caused by any form of intellectual dishonesty.

3.3 Offense in Research

Researchers are expected to maintain the highest standards of honesty and integrity. Researchers must at all times function within the existing research paradigm and ethically acceptable methodological framework. Any form of research dishonesty - including but not limited to the following, will be regarded as a serious offence:

(i) Failure to give proper acknowledgement to the inputs of collaborators.
(ii) Fraudulent inclusion or reporting and manipulation of factual information.
(iii) Plagiarism as the appropriating of literary work, or portions of such work, by someone else, and the presentation thereof as if it were the guilty person's own work.
(iv) Unauthorized use of confidential research results (research theft) where this is not in accordance with acceptable academic or collegial behaviour.
(v) Unacceptable acquisition, allocation and misuse of funds allocated for research purposes.
(vi) Retribution of any nature against a person who has acted in good faith in reporting suspected or alleged research misconduct or in giving information in this regard
(vii) Unlawful and unauthorized use of University's property and equipment.
(viii) Violation of copyrights or any other form of intellectual property rights provided in the University policies, National legislation and global treaties and conventions to which Tanzania has acceded.
(ix) Failure to comply with research tasks forming part of work duties.
(x) Undermining other individuals' fundamental + rights and welfare of research participants, and the regulatory compliance of research procedures.

iii OUT is responsible for determining whether any modifications need to be made to research procedures and/or consent documents in relation to the research inquiries that they review.

3.4.2 Procedure of Research Inquiries

1. OUT Research Ethics Committee and Researchers should work with the inquirer to resolve mattes.
2. Any other OUT officer may also be consulted, depending upon the nature of the inquiry.
3. The inquiry, response, and resolution should be properly documented and be reported to RPPC and SENATE.
4. DRP should keep records and be able to retrieve such records in case of future inquiries on the same issue from the same individual or any other stakeholder
5. Inquiries that involve routine or general questions about the research need not be reported to RPPC and SENATE. Examples include but are not limited to:
   - Questions about study visits or procedures.
   - Questions about eligibility.
   - Questions about overall study results or outcomes.

6. Inquiries that suggest or allege research non-compliance or unanticipated problems must be submitted to DRP within 10 days.Examples include but are not limited to:
   - Allegations that the subject's confidentiality has been breached
   - Allegations the researcher did not follow the OUT approved research plan including consent processes.
   - Allegations that the subject was harmed by the research
   - Threats of harm made by the subject to the research staff or others

7. Inquiries involving questions about the rights and welfare of research participants, or about regulatory compliance, should also be referred to DRP. Examples include but are not limited to:
   - Complaints about the receipt or amount of subject payment.
   - Complaints about study visits lasting longer than expected.
   - Complaints about being ineligible for participation in the research

8. If the inquirer provides information that suggests an immediate risk to the safety, welfare, and/or rights of subjects and/or others, the DRP brings it to the attention of RPPC or RPPC Chair person where, if need be the matter will immediately be forwarded to SENATE or SENATE chairperson for decision on whether there is a need for swift action to protect subjects and/or others. Actions may include - but are not limited to:
   - Suspending approval of the research.

- Notifying appropriate authorities.

A. If the inquiry involves general or routine questions about participation in research, DRP may answer the questions or refer the inquirer to the investigator, as appropriate. When this happens, the DRP:
   1. Provides the inquirer with contact information for the investigator;
   2. Asks the inquirer to call back if he or she needs further assistance;
   3. May elect to document the inquiry if appropriate and sign accordingly;
   4. Saves any documentation in DRP compliance records; and,
      (i) No further action is required.

B. If the inquiry is related to research that was not reviewed by OUT review committee the DRP:

Provides the inquirer with contact information for the reviewing institution if available;

1. Documents the referral as appropriate;
2. Signs the documents;
3. Saves a copy in DRP compliance records; and,
4. No further action is required.

The identity of the inquirer is kept as confidential as possible, but the inquirer is informed that the details of the inquiry may need to be shared in order to facilitate a resolution and anonymity cannot be guaranteed.

In the event that the information provided by the inquirer suggests the possibility of serious or continuing research non-compliance or an unanticipated problem, the matter must be investigated regardless of whether the inquirer wishes to pursue it.

3.4.3 Investigation

The DRP gathers any necessary information from the researcher and other sources as part of the investigation into the inquiry. Other sources may include - but are not limited to:

1. Subject matter experts
2. Research documents and records
3. Faculties and directorates
4. Other university offices
5. Research Sponsors
6. Any other relevant sources of information

The DRP - through the Research Ethics Committee, may need to work with the investigator and/or other sources to facilitate a resolution to the inquiry. The DRP documents the investigation and resolution of the research ethics committee on the inquiry accordingly. DRP presents the research ethics committee report to RPC Depending on resolutions from RPC, the DVC academic presents the inquiry report to SENATE for final decision.

3.4.4 Conclusion for Investigation

The DRP informs the inquirer of the outcome of the review, if appropriate, using the inquirer's preferred method of communication. Once the DRP has concluded the investigation and the SENATE has approved any relevant modification or corrective action, the matter is considered closed unless the inquirer presents new or clarifying information (i.e. because the inquirer believes that the information he or she provided was not understood).

3.5 Appeal

This appeal procedure applies to all University staff and students engaged in a research projects to which the University's Policy on the Ethical Conduct of Research applies, and to other persons engaged in a University-led research projects who, as a condition of being granted access to University facilities or premises, have agreed in writing that the policy will apply to them.

A researcher may appeal the decision of any Research Ethics Committee on any of the following grounds:

- That there existed material circumstances relating directly to the case of which the reviewing committee was not aware;
- That procedural irregularities occurred in the review process, which were of such a nature as to cause reasonable doubt as to whether the Committee would have reached the same conclusion had the irregularities not occurred; and
- That there is demonstrable evidence of prejudice, bias, or inadequate review.
- If the University Research Ethics Committee is of the view that a complaint does not fall within any of the grounds specified above, they shall dismiss the complaint and shall inform the complainant accordingly.

3.6 Appeal Procedure

(i) If a researcher wishes to appeal the decision of a Research Ethics Committee, he or she should notify DRP within ten working days of being notified of that decision.

(ii) An appeal should be submitted in writing and must include:

(i) The title of the research proposal, and name of the supervisor, if appropriate

(ii) The name of the Research Ethics Committee to which it was submitted and the date of the decision to be appealed

(iii) The reason for the appeal

(iv) Any documentary evidence to support the appeal

(v) DRP shall circulate it to all University Research Ethics Committee members all relevant information that led to the initial decision. The researcher and the Committee(s) that made the initial decision will also be required to provide any additional information relevant to the case for consideration by the University Research Ethics Committee. Up to fifteen working days from receipt of the appeal will be allowed for the gathering of this information.

(vi) The Secretary shall ensure that any institutional obligations and/or relevant contractual obligations to research funding bodies and partner institutions are met, which may include notifying them of the appeal and its outcome.

(vii) In any case that involves allegations of misconduct, in accordance with the University's established procedures; the Secretary shall ensure that the Academic Secretary is fully aware of the appeal.

(viii) The University Research Ethics Committee will deal with requests for appeal with all reasonable expedition. DRP shall set a deadline for the completion of the appeal process and, where appropriate, provide a date for the Appeal hearing, and inform the appellant accordingly.

(ix) Both the researcher and the secretary of the Research Ethics Committee involved will be notified of the result in writing.

(x) Those making an appeal to the University Research Ethics Committee should be protected by University policies on victimization and harassment.

4.1 Research Misconducts

Research misconduct means fabrication, falsification, or plagiarism in proposing, performing, or reviewing research or in reporting research results.

(i) Fabrication is making up data or results and recording or reporting them.

(ii) Falsification is manipulating research materials, equipment, or processes, or changing or omitting data or results such that the research is not accurately represented in the research record.

(iii) Plagiarism is the appropriation of another person's ideas, processes, results, or words without giving appropriate credit.

Example: Read the following paragraphs

Ionized impurity and magnetic scattering lead to localization of the effective-mass holes introduced by Mn in III-V compounds or by acceptors in the case of II-VI materials. It is therefore important to discuss the effect of Anderson-Mott localization on the onset of ferromagnetism. The two-fluid model constitutes the established description of electronic states in the vicinity of the Anderson-Mott metal-insulator transition (MIT) in doped semiconductors. According to that model, the conversion of itinerant electrons into singly occupied impurity states with increasing disorder occurs gradually, and has already begun on the metal side of the MIT. This leads to a disorder-driven static phase separation into two types of region, one populated by electrons in extended states, and another that is totally depleted of carriers or contains singly occupied impurity like states. The latter region controls the magnetic response of doped nonmagnetic semiconductors and gives rise to the presence of bound magnetic polarons (BMP's) on both sides of the MIT in magnetic semiconductors.

Ionized impurity and magnetic scattering result in localization of the holes produced by Mn in III-V compounds or by acceptors in II-VI materials. Thus one needs to emphasize the affect of Anderson-Mott localization on the creation of ferromagnetism. The two fluid model provides an established model of electronic states near the Anderson-Mott metal-insulator transition (MIT). Within that model, the change of itinerant electrons into singly occupied impurities with enlarged disorder occurs only gradually. Such localization already begins on the metallic side of the MIT, and leads to several disorder driven stable phases: one populated by delocalized electrons, and the other which contains no itinerant carriers or contains singly occupied states which look like impurities. The latter region controls the magnetic behavior of doped nonmagnetic semiconductors and also enables the formation of bound magnetic polarons (BMP's) in diluted on either side of the MIT.

Note that not even one sentence of the original quote remains unchanged. Quite a bit of the preceding paragraph has also been deleted.

The preceding passage is considered plagiarism for two reasons:

(i) The writer has only changed around a few words and phrases, or changed the order of the original's sentences.

(ii) The writer has failed to cite a source for any of the ideas or facts.

Research misconduct does not include honest error or differences of opinion.

4.1.1 Handling Research Misconducts

Good research practice requires that all parties involved have a common understanding and practice of accepted standards of scientific conduct well before their involvement in research, and thus they are all informed and aware of the activities and behaviours that are deemed unacceptable and to know how to identify them. The parties should be aware of the relevant regulations, policies and procedures relating to research misconduct and their responsibilities stemming from such policies. Instruction with regard to misconduct in research often encompasses specific sessions relating to reporting misconduct and the role of whistleblowers, how alleged incidences of misconduct will be investigated, as well as the likely penalties and sanctions for confirmed cases of misconduct.

4.1.2 Punishment for Research Misconducts

OUT is empowered to impose a wide spectrum of penalties to research stakeholders proved to commit research misconduct, and this shall include but not limited to:

(i) Issuing a letter of reprimand,
(ii) Suspending or terminating a researcher's OUT research grants,
(iii) Restricting a researcher's activities on OUT-funded research projects,
(iv) Imposing research supervision requirements.
(v) Excluding, or "debarring," a researcher from participating in any way on any OUT-funded research for some period of time. In the context of this document, a "debarred" individual cannot work on OUT-funded research nor can he/she receive any assistance from OUT grants. This means that a "debarred" individual is not only prohibited from receiving compensation from OUT grant money, but he/she also cannot use equipment, laboratory space, office personnel, or any other resources that are paid for in whole or in part with OUT funds.

5 Training on Research Integrity

All Students and staff undertaking research are required - in the course of their studies or career, to have undertaken appropriate training or to have had significant relevant experience before embarking on an evaluation of the ethical implication of their research or other aspects of this policy.

Students and staff must responsibly consider whether their training or experience sufficiently qualifies them to evaluate the ethical implication of their research. If not, they or should in the first instance seek appropriate advise from within their department or centre and or colleagues within their discipline with specific expertise in relation to research ethics. Thereafter, in the event of any remaining uncertainty as to correctness of their research, they are required to submit their research plans to the Research Ethics Committee.

This policy should formally be incorporated into all undergraduate and post graduate training programmes offered at OUT at departmental level. All undergraduate and post graduate and research degrees must incorporated at least one lecture, seminar or support session that covers research ethics. All students undertaking research for a dissertation or thesis should have access through their supervisor to appropriate advice and support in relation to research ethics.

All academic members of the Research Ethic committee are required to have undertaken appropriate training and/or have significant relevant experience before taking up their responsibilities on the committee.

REFERENCES

SUA (2012) Code of conduct for Research Ethics. Directorate of Research and Postgraduate Studies. 25 pp.

SUA (2010) Research Policy. Focus Areas, Guidelines and Regulations. Directorate of Research and Postgraduate Studies. 130 pp.

COSTECH (2015) The National Framework for Research Integrity. Draft Document.12pp.

Ecuru, J (2015) National Guidelines For Research Involving Humans as Research Participants: Experience from Uganda. Presented at Research Integrity workshop 22 may. COSTECH Tanzania.

UNISA (2007) Policy on Reearc Ethics.26pp.

UDSM (2014) Guidelines for Research Centres of Excellence at the University of Dar Es Salaam. 53pp.

University of Sheffield (2004) Research Ethics: General Principles and Statements.

Annexure A: Research Ethics Review

This form should be completed for every research project that involves human participants or the use of information relating to directly identifiable individuals.

1. PART I - CHECKLIST
The Checklist is designed to identify the nature of any ethical issues raised by the research

This checklist must be completed before potential participants are approached to take part in any research

1. Name of Researcher					
	Status *(mark with an 'X' as appropriate)*	Undergraduate student		Masters student	
		Research degree student		Staff	
	Email		Telephone number		
	Department				

2. Student Details if Applicable					
	Degree programme:				
	Supervisor's name:		Supervisor's email:		
	Supervisor's department:				

3. Title of the proposal and brief abstract
(150-200 words – your abstract should outline in non-technical language the purpose of the research and the methods that will be used.)
4.0 Is it proposed that the research will be funded? If so by whom?

	Please mark an X in the appropriate right-hand column/box	**Yes**	**No**	**Not Certain**
5. Research that *may* need to be reviewed by an external Ethics Committee				
i	Will the study require Health Research Authority approval?			

ii	Does the study involve participants lacking capacity to give informed consent?			
iii	Is there any other reason why the study may need to be reviewed by another external Ethics Committee?			
	If you have answered Yes to any of the questions in section 5, there is no need to complete the rest of the Checklist)			
	Please mark an X in the appropriate right-hand column/box	**Yes**	**No**	**Not Certain**
6. Consent				
i	Does the study involve participants who are potentially or in any way vulnerable or who may have any difficulty giving meaningful consent to their participation or the use of their information?			
ii	Are participants to be enlisted in the study without their knowledge and consent? (e.g. via covert observation of people in public places)			
iii	Will the study require the co-operation of a gatekeeper for initial access to the groups or individuals to be recruited?			
7. Research Design / Methodology				
i.	Does the research methodology involve the use of deception?			
ii.	Are there any significant concerns regarding the design of the research project? For example: Where research intrudes into the private sphere or delves into some deeply personal experience; Where the study is concerned with deviance or social control; Where the study impinges on the vested interests of powerful persons or the exercise of coercion or domination; or Where the research deals with things that are sacred to those being studied that they do not wish profaned.			
iii.	If the proposed research relates to the provision of social or human services is it feasible and/or appropriate that service users or service user			

	representatives should be in some way involved in or consulted upon the development of the project?			
8. Financial Incentives				
i.	Are there payments to researchers/participants that may have an impact on the objectivity of the research?			
ii.	Will financial inducements (other than reasonable expenses andcompensation for time) be offered to participants?			
9. Research Subjects				
i.	Could the study induce unacceptable psychological stress or anxiety or cause harm or negative consequences beyond the risks encountered in normal life? Will the study involve prolonged or repetitive testing?			
ii.	Will the study involve discussion of sensitive topics? For example (but not limited to): sexual activity, illegal behaviour, experience of violence or abuse, drug use, etc.). (Please refer to the Research Ethics Policy).			
iii.	Are drugs, placebos or other substances to be administered to the study participants or will the study involve invasive, intrusive or potentially harmful procedures of any kind?			
10. Confidentiality				
i.	Will research involve the sharing of data or confidential information beyond the initial consent given?			
	Will the research involve respondents to the internet, e.g. social media, or other visual/vocal methods.			
	Will the research involve administrative or secure data that requires permission from the appropriate authorities before use?			
11. Legal requirements				
	Please mark an X in the appropriate right-hand column/box	**Yes**	**No**	**Not Certain**
	The Data Protection Act will apply to any data-processing activities entailed by this research. Is there any cause for uncertainty as to whether			

	the research will fully comply with the requirements of the Act?			
12. Dissemination				
	Are there any particular groups who are likely to be harmed by dissemination of the results of this project?			
13. Risk to researchers				
	Do you have any doubts or concerns regarding your (or your colleagues) physical or psychological wellbeing during the research period?			

PART II: SELF CERTIFICATION AND/OR NEXT STEPS

A	If, after careful consideration, you have answered **No** to all the questions (whether you are a member of the academic staff or a student), you do not need to complete the questionnaire in Part III, unless you are subject to some external requirement that requires you to seek formal approval from the University Research Ethics Committee. You should tick Box **A** in the **Self-Certification Section** below, sign as appropriate and submit the form to your Head of Department, Research Centre Director, or their administrations as appropriate. Occasional audits of such forms may be undertaken by the University.
B	If you have answered **Yes** or **Not certain** to any of the questions in sections 6-13 of the checklist you will need to consider more fully how you plan to deal with the ethical issues raised by your research. Answering the relevant questions in the Questionnaire in Part III below may assist you. Alternatively, your own department or institute may have alternative forms or procedures to assist you. If having done so you are wholly assured that adequate safeguards in relation to the ethical issues raised can and will be put in place, you may tick **Box B** in the Self certification Section below, sign as appropriate and submit the form to your Head of Department, Research Centre Director, or their administrations as appropriate. Occasional audits of such forms may be undertaken by the University.
C	If you have answered Yes in section 5 that your research will be subject to an external ethics committee, please tick **Box C** below and send the completed Checklist (questions 1-5) to and you should submit your research for ethics approval to the appropriate body. Once approval is granted please send a copy of the letter of approval to OUT DRP.

Students who self-certify their research proposals should do so in consultation with their supervisors.

If you are unable to self-certify your proposed research you should in any event complete the questionnaire in Part III below and complete the **Refer to Research Ethics Committee Section** at the end of the form.

SELF-CERTIFICATION

***Select A, B or C** (delete as appropriate):*
I have read and understood the OUT Research Ethics Policy and the questions contained in the Checklist above and confirm:

A	That no significant ethical issues are raised by the research, or
B	That adequate safeguards in relation to such issues can and will be put in place, or
C	That the research will be subject to an external ethics review

Please sign the relevant section below

Academic Research Staff

Summary of any ethical issues identified and safeguards to be taken (expand box as necessary):

I hereby confirm that I have undertaken training and/or have had significant experience in research ethics in the course of my career and/or have sought and obtained expert advice in connection with the ethical aspects of the proposed research:

Researcher Signature:	Date:

Undergraduate/Taught Postgraduate Student/PhD Student

Summary of any ethical issues identified and safeguards to be taken (expand box as necessary):

I hereby confirm that I have undertaken training in research ethics in the course of my studies and/or that I have consulted and been advised by my supervisor or other expert with regard the ethical implications of my proposed research.

Researcher Signature:	Date:
Researcher Signature:	Date:

By signing here the supervisor confirms that the student has been advised in relation to any ethical issues raised by her/his research; these have to the best of the supervisor's understanding been adequately addressed in the research design; and the student has been made aware of her/his responsibilities for the ethical conduct of her/his research.

The questionnaire enables you to explain how the ethical issues relating to your research will be addressed. If you are intending to submit your proposal to the Research Ethics Committee it needs to be completed in full.	
1. Research aims	
Please provide brief (no more than 500 words) details in non-technical language of the research aims, the scientific background of the research and the methods that will be used. This summary should contain sufficient information to acquaint the Committee with the principal features of the proposal. A copy of the full proposal should nonetheless be attached to this document in case it is required for further information.	
2. Informed consent	
i	Will potential participants be asked to give informed consent in writing and will they be asked to confirm that they have received and read the information about the study? If not, why not? *Please attach a draft information sheet and/or consent form if this has been prepared.*
ii	How has the study been discussed or are there plans to discuss the study with those likely to be involved, including potential participants or those who may represent their views?
iii	Has information (written and oral) about the study been prepared in an appropriate form and language for potential participants? At what point in the study will this information be offered?
iv	How will potential participants be informed of whether there will be adverse consequences of a decision not to participate? Or of a decision to withdraw during the course of the study?
v	What provision has been made to respond to queries and problems raised by participants during the course of the study?
3. Research design and methodology	
i	Where relevant, how does the research methodology justify the use of deception?
ii	If the proposed research involves the deception of persons in vulnerable groups, can the information sought be obtained by other means?
iii	How will data be collected and analysed during the project?
iv	How have the ethical and legal dimensions of the process of collecting, analyzing and storing the data been addressed?

v	What concerns have been taken into account with regard to the preparation and design of the research project? If agencies, communities or individuals are to be directly affected by the research (e.g. participants, service users, vulnerable communities or relations), what means have you devised to ensure that any harm or distress is minimized and/or that the research is sensitive to the particular needs and perspectives of those so affected?
vi	Have you been able to devise a timetable of research?
4. Ethical questions arising from the provision of incentives	
i	Are any incentives being offered to participants?
5. Research participants	
i	Who do you identify as the participants in the project? Are other people who are not participants likely to be directly impacted by the project?
ii	What are the specific risks to research participants or third parties?
iii	If the research involves pain, stress, physical or emotional risk, please detail the steps taken to minimize such effects.
6. Confidentiality	
i	What arrangements have been made to preserve confidentiality for the participants or those potentially affected, and compliance with data protection law?
7. Dissemination	
i	Will the results of the study be offered to those participants or other affected parties who wish to receive them? If so, what steps have been taken to minimize any discomfort or misrepresentation that may result at the dissemination stage?
8. Risk to researchers	
i	Are there any risks to researchers? If so, please provide details.
REFER TO RESEARCH ETHICS COMMITTEE	
Approval is required by the Research Ethics Committee on one or more of the following grounds (please mark with an 'X' in the appropriate place in the right-hand column):	
a	Significant ethical issues are raised by the research, including research characterised by one or more of the following features:
	(i) Research involving deception of participants, or which is conducted without their full and informed consent at the time the study is carried out or when the data is gathered, or which involves the use of confidential information. (ii) Research involving more than minimal risk of harm to participants,

	such as: • research involving vulnerable groups • research involving personally intrusive or ethically sensitive topics • research involving groups where permission of a gatekeeper is normally required for initial access to members • research which would induce unacceptable psychological stress, anxiety or humiliation or cause more than minimal pain.

b	The researcher wants to seek the advice of the Research Ethics Committee.
c	External obligations (for instance, funder requirements, data access requirements) require it.
d	Research undertaken by a student or member of staff who has not received appropriate training or has insufficient experience in research ethics and has been unable to access appropriate advice or support.

Annexure B: Flow Chart of the Research Ethics Review Process