

UNIVERSITY OF KISUBI



RESEARCH CODE OF CONDUCT POLICY

MAY 2019

1.0 UNIVERSITY INFORMATION

University of Kisubi (UniK) is a private University owned by the Ugandan province of the Brothers of Christian Instruction, an international religious congregation that has a long history of education of the youth. The present-day UniK was founded on 15th August 2004 as Kisubi Brothers Centre of Uganda Martyrs University (KBUMU) when the above mentioned Brothers signed a Memorandum of Understanding with Uganda Martyrs University. On 27th March 2009, the National Council for Higher Education (NCHE) granted KBUMU the constituent college status to become Kisubi Brothers University College (KBUC), a Constituent College of Uganda Martyrs University. Then on 29th June 2015, the same NCHE granted KBUC authority to operate as a fully-fledged licensed private University.

2.0 POLICY STATEMENT

The University is committed to maintaining the highest standards of integrity in conducting research. To ensure that these standards are upheld the University has adopted a Research Code of Conduct Policy adapted from local and International agencies for responsible conduct of research. The University manages the conduct of responsible Research Activities through this policy in accordance with Uganda National Council for Science and Technology (UNCST) and international guidelines.

The University requires that all Researchers at UniK be familiar with The Code and uphold it in undertaking all Research Activities. It is the responsibility of Researchers to be cognisant of, and comply with, The Code and its requirements and all relevant University policies and procedures, state, international laws, regulations, statutes, rules, standards and codes of practices when conducting Research Activities.

Failure to comply with the provisions of the Code may be grounds for disciplinary action in accordance with the University's policies on misconduct. Some breaches may also have consequences for individuals or organisations under criminal or civil jurisdictions.

3.0 PURPOSE

To establish a framework to promote ethical conduct of research at University of Kisubi.

4.0 SCOPE

This policy applies to all University Researchers including staff and registered students.

5.0 STATEMENT OF GUIDING PRINCIPLES

The Code prescribes standards of responsible and ethical conduct expected of all researchers undertaking research activities at or on behalf of the University of Kisubi. All researchers are expected to uphold these principles at all times whilst undertaking research activities.

The University ensures good ethical practice and protects the dignity, rights and welfare of research participants and researchers. The University has adopted a responsible research culture based on the following principles:

- i. Research within the University should pursue new knowledge and understanding.
- ii. Research methods and results should be open to scrutiny unless they are subject to particular requirements of confidentiality.
- iii. The researcher should:
 - a) Demonstrate integrity and professionalism;
 - b) Behave ethically and responsibly;
 - c) Ensure the accuracy of results;
 - d) Observe fairness and equity;
 - e) Avoid conflicts of interest;
 - f) Ensure the safety, welfare and dignity of those involved in or associated with the research;
 - g) Appropriately acknowledge the role of others in research
 - h) Observe responsible communication of research results

In addition to these principles, the Researchers and the University may have a requirement to comply with other specific requirements related to their areas of research activities. It is the responsibility of researchers to familiarise themselves with any additional specific requirements and to comply with these when undertaking Research activities.

iv. The University will:

- a) Establish and uphold good governance and management practices;
- b) Provide appropriate training for Researchers, including regular training in all aspects of The Code;
- c) Promote peer review and mentoring;
- d) Ensure a safe research environment;
- e) Effectively retain and store Research Data;
- f) Establish and administer a process to manage potential, perceived, and actual conflicts of interest;
- g) Encourage a research culture which is innovative, open and transparent;
- h) Provide an advice mechanism for obtaining ethical clearance prior to conducting research; and
- i) Provide relevant training on procurement and contractual practices associated with collaborative Research Activities;

v. Researchers will:

- a) Ensure that their research is an original undertaking;
- b) Uphold University governance and management practices;
- c) Demonstrate integrity and professionalism;
- d) Follow proper practices to ensure the security and safety of themselves, the environment and other persons;
- e) Responsibly manage Research Data;
- f) Seek advice in regard to the ethical conduct of research; and
- g) Seek ethical clearance prior to conducting any research that involves human, animals or the environment.

6.0 RESEARCH DATA MANAGEMENT AND RECORD KEEPING

- a) All Research Data and records must be managed in accordance with the relevant University policies. Many research funders require a data management plan as part of any application. The researcher must include, at an early stage in the design of the project, consideration of how data will be gathered, analysed, managed and archived, including how and in what form data will eventually be made available to others.
- b) The researcher must ensure that appropriate preparations for the security of research data are made. You must pay particular attention to confidential or personal information that will be obtained (in either physical or electronic format) during the course of your research, and declare those who will require access to it.
- c) Research data must be recorded legibly, clearly and accurately in a suitable form, with appropriate references. General and funder-based data management guides can be followed where applicable.
- d) When undertaking sensitive, security or terrorism related research, the researcher must ensure that they have suitable encryption and storage systems in place before research commences.
- e) Researchers should, wherever practicable, use anonymised data for research.

7.0 AUTHORSHIP AND ACKNOWLEDGEMENT

Authorship in relation to Research activities will be assigned and managed in accordance with the relevant University policies and procedures. Any person who is to be included as author of a publication must have made a substantial contribution to the research from which the publication is derived; be familiar with the entire contents of the publication; meet any criteria for authorship made by a publisher or editor.

8.0 PUBLICATION AND DISSEMINATION OF RESEARCH FINDINGS

- a) Publication and dissemination of research findings will be undertaken in accordance with the relevant University policies and procedures. Researchers must publish and disseminate research in a manner that reports the research and their findings accurately. If the terms of funding require publication within a set time, researchers must make every effort to meet these deadlines.
- b) Anyone who has participated in a substantial way in conceiving, executing or interpreting at least part of the relevant research must be given the opportunity to be included as an author of a publication derived from that work.
- c) Where the publication or dissemination of research or research findings generate or may generate interest from the media or the general public, researchers must seek advice from the Public Relations Office/Communications Office.

9.0 CONFLICTS OF INTEREST

Researchers are responsible for reporting any potential, perceived or actual conflicts of interest in accordance with the University's codes of conduct and relevant policies and procedures.

'Conflict of interest' includes any personal or family concern with the outcome of research, or any affiliation or involvement with any organisation sponsoring or providing financial support for a project, or any financial involvement in a project undertaken by a researcher. Financial involvement includes direct financial interest, provision of benefits (such as travel and accommodation) and provision of material or facilities.

Also, members of University Research Ethics Committee (REC) must avoid conflict of interest regarding particular requests for proposal approvals.

10.0 PEER REVIEW

Peer review at the University will be undertaken in accordance with relevant University policies and procedures. Individuals agreeing to contribute to the peer review process for external organisations must observe the following:

- a) All the information made available to a researcher as a peer reviewer must be treated with strict confidence.
- b) Peer review **must** be undertaken in line with the regulations of the body making the request. Reviewers **must not** take advantage of any information obtained as a result of their role.
- c) Reviewers **must** declare any conflicts of interest and, normally, decline an invitation to review, or withdraw from the relevant discussion
- d) Reviewers of manuscripts **must** adhere to the guidelines of the publisher or the requesting organization.
- e) If the reviewer considers himself/herself to have insufficient expertise to assess a manuscript, he/she should declare it and decline from providing the service.

11.0 COLLABORATIVE RESEARCH

The University encourages collaborative research. To facilitate this, researchers engaged in, or considering undertaking collaborative research, must undertake this research in accordance with relevant University policies and procedures.

Any collaborative research is to be managed in accordance with relevant University costing and pricing policies and procedures.

12.0 INTELLECTUAL PROPERTY

Intellectual Property is to be managed in accordance with the relevant University policies and procedures.

13.0 MANAGEMENT OF HIGHER DEGREE BY RESEARCH STUDENTS

Management of Higher Degree by Research students is the responsibility of the Office of Director for SGSR and will be carried out in accordance with the relevant University policies and procedures.

14.0 HUMAN RESEARCH ETHICS REQUIREMENTS

Researchers undertaking research involving humans, and/or their data or tissue, must comply with ethical principles of integrity, respect for persons, justice and beneficence, in accordance with Uganda National Council of Science and Technology (UNCST) guidelines.

15.0 ANIMAL RESEARCH ETHICS REQUIREMENTS

Researchers involved in the care and use of animals for scientific purposes, must comply with the University's policies and procedures related to animal welfare and ethics. Research involving animals should aim to conform to the principles of replacement, reduction and refinement.

16.0 BIOSAFETY RESEARCH ETHICS REQUIREMENTS

Researchers involved in the use of genetically modified organisms and/or research that incorporates biological agents, must comply with the University's policies and procedures related to biosafety research ethics as may be designed from time to time.

17.0 RESEARCH INTEGRITY AND ADVICE ON THE CONDUCT OF RESEARCH

Where a Researcher or any other University member is in doubt about the applicability of provisions of The Code, its supporting policies, procedures and processes, or about the appropriate course of action to be undertaken, advice should be sought from the Chair of the University Senate. Confidentiality will be maintained at all times in the provision of this advice in accordance with the University's Policies and procedures.

18.0 RESEARCH MISCONDUCT

The Vice-Chancellor is responsible for ensuring that the University has in place proper processes for managing research misconduct. The University considers misconduct in research to be completely unacceptable.

Researchers have an obligation to report any suspected research misconduct. Failure to report suspected research misconduct may result in disciplinary action under the University's policies on misconduct. Failure to report suspected research misconduct may also have consequences for individuals under criminal or civil jurisdictions.

Examples of research misconduct include, but are not limited to:

- i. Fabrication of data or results;
- ii. Falsification or misrepresentation of results of data including changing records;
- iii. Failure to declare and manage serious conflicts of interest;
- iv. Falsification or misrepresentation to obtain funding;
- v. Conducting research without ethics approval as required by the Uganda National Council of Science and Technology (current edition);
- vi. Risking the safety of human participants, the wellbeing of animals, or the environment;
- vii. Willful concealment or facilitation of Research Misconduct by others;
- viii. Deviations from the Research Code of Conduct Policy, or its supporting policies, pursuant procedures and processes and/or the law of the land through gross or persistent negligence;
- ix. Breach of duty of care;
- x. Any other practices that seriously deviate from those commonly accepted within the research community for proposing, conducting or reporting research.

Cases of alleged misconduct involving registered students will be dealt with according to the procedures laid out in the relevant student regulations.

When a researcher is both a student and an employee, the route by which misconduct will be investigated will normally be determined by whether the alleged misconduct took place during staff or student duties.

19.0 PENALTIES FOR MISCONDUCT IN RESEARCH

If research misconduct is found following the completion of an investigation, supplemental penalties may be agreed in addition to any disciplinary or legal procedures. These may include:

- a) Retraction or correction of articles in published materials;
- b) Withdrawal or repayment of research funding;
- c) Notification to regulatory bodies and/or professional bodies, in particular if the concerns relate to Fitness or Practice;
- d) Notification to research participants, patients or their doctors;
- e) Review of internal management and or training and supervisory arrangements;
- f) The making of any public statement necessary to protect the good name and reputation of the University;
- g) Any actions necessary to safeguard research participants, patients and any other involved parties.

20.0 RESEARCH IN PROTECTED AREAS

Researchers intending to carry out research in protected areas such as wildlife reserves, forest reserves, museums, antiquities and monuments or other conservation sites under the jurisdiction of Uganda Wildlife Authority, National Forestry Authority, or any other authorised lead agency are required to obtain access permits from those agencies prior to submitting their research protocols to any organisation responsible for managing research.

21.0 TRANSFER OF MATERIALS FOR RESEARCH

UNCST guidelines will be followed before materials are transferred for research purposes outside Uganda.

DEFINITIONS

Fabrication

Comprises the creation of false data or other aspects of research, including documentation and participant consent.

Falsification

Comprises inappropriate manipulation and/or selection of data, images and/or other contents.

Plagiarism

Comprises the misappropriation or use of others' ideas, intellectual property or work (written or otherwise), without acknowledgement or permission. It includes self-plagiarism: reuse of one's own work without suitable acknowledgement or permission.

Misrepresentation

Fraudulent, negligent, innocent misstatement or incomplete statement of materials in the conduct of research. It includes:

- a) Misrepresentation of data, such as by suppression of relevant findings, or knowingly, recklessly or by gross negligence presenting a flawed data interpretation;
- b) Undisclosed duplication of publication, including duplicate submission of
- c) manuscripts for publication;
- d) Misrepresentation of interests, including failure to declare material interests either of the researcher or of the research funders;
- e) Misrepresentation of qualifications and/or experience, including claiming or implying qualifications or experience not held; and/or Misrepresentation of involvement, such as inappropriate claims to authorship and/or attribution of work where there has been no significant contribution, or the denial of authorship where an author has made a significant contribution

Breach of duty of care: whether deliberately, recklessly or by gross negligence includes:

- a) Disclosing improperly the identity of individuals or groups involved in research without their consent, or any other breach of confidentiality;
- b) Placing any of those involved in research in danger, whether as subjects, participants or associated individuals, without their prior consent, and without appropriate safeguards even with consent (this includes reputational danger where that can be predicted);
- c) Not taking all reasonable care to ensure that the risks and dangers of the broad objectives and the sponsors of the research are known to participants or their legal representatives; appropriate informed consent is obtained properly, explicitly and transparently;
- d) Not observing legal and reasonable ethical requirements or obligations of care for human or animal subjects, human organs or tissue used in research, or for the protection of the environment; and/or
- e) Improper conduct in peer review of research proposals or results (including manuscripts submitted for publication); this includes failure to disclose conflicts of interest; inadequate disclosure of clearly limited competence; misappropriation of the content; and breach of confidentiality or abuse of material provided in confidence for peer review purposes.

POLICY VERSION AND HISTORY

Version Number	Date of approval	Revision Required	Approving Authority	Brief description of Amendment
V.1.0	May/2019	May/2020	The Senate	N/A