



**MOSHI CO-OPERATIVE UNIVERSITY (MoCU)
CHUO KIKUU CHA USHIRIKA MOSHI**

Research Code of Ethics and Conduct, 2017

(Made under section 54 of the Universities Act (No. 7 of 2005) and Article 30 of the Moshi Co-operative University Charter, 2015)

December, 2017

FOREWORD

The *Research Code of Ethics and Conduct of Moshi Co-operative University* provides a comprehensive framework for good research conduct and the governance of all research carried out across the University. The Code underpins the University's commitment to maintaining the highest standards of integrity, rigour and excellence in all aspects of our research and for all research to be conducted according to the appropriate ethical, legal and professional frameworks and standards. The Code is a fundamental component of the research environment which is characterized by the culture of research integrity, good research practice, and the development and training of researchers at all stages of their careers.

The Code outlines the duty of researchers including their responsibilities towards all participants and subjects of research including humans, the environment and cultural materials. It also provides a basis for transparency and appropriate communication and dissemination of research findings. The University welcomes different frameworks for good research conduct and governance of publications. This Code has been made to be consistent with the commitments and aims of applying research integrity across the University. We will monitor and, where necessary, improve the Code in order to further strengthen the integrity of research carried out across the University.

Professor F. K. Bee
Vice Chancellor

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**PART I
PRELIMINARY PROVISIONS**

1. This Code may be cited as the Research Code of Ethics and Conduct of Moshi Co-operative University, 2017

Citation

2. In this Code, unless the context requires otherwise:

Interpretation

“Code” means the research code of ethics and conduct of Moshi Co-operative University, 2017;

“Collaborator” means a staff or student engaged in a research project with MoCU under the guidance of a Lead Investigator also called a principal investigator;

“Conflict of interest” means a clash between ones interest and those of the institution which are not compatible;

“Ethical behavior” means and includes such values as honesty, integrity, priority, diligence, fairness, responsiveness, respect and trust;

“Externally funded project” means a project that draws funds to MoCU from external funders through successful proposal bidding and subsequent funding;

“Intellectual property rights” means any invention, discovery, or creation, which results from the research work conducted by or on behalf of MoCU. It may not be reproduced by any means in full or in part, except for short extract in fair dealings, for research or private study, critical scholarly review or discourse with acknowledgment, without written permission of MoCU;

“Internally funded project” means project funded by Moshi Co-operative University (MoCU) through its budgetary allocation;

“Principal investigator” means the lead investigator in a research project who is recognized as such in research proposal conception, or funding acquisition by the University;

“Research associate” means a research position at the University
A Research Associate usually conducts researches under the supervision of a Principal Investigator, although there is a lot of variability in the degree of independence;

“Research ethics” means ethics involving the application of fundamental ethical disciplines and methodologies to research practices;

“Research misconduct” means any acts of fabrication, fraud, falsification, plagiarism, grievous mischief, or unethical practices in research;

“Research policy” means a set of principles and guidelines that direct the conduct of research at the University;

“Research” includes all forms of funded and unfunded scholarly, scientific and professional work related activities based on intellectual investigation aimed at discovering, interpreting, revising, disseminating and publishing knowledge monitored by the University;

“Researcher” means any member of the University (staff/ student) who engages in Research;

“Staff” means an employee of MoCU;

“Student researcher” means a student enrolled at MoCU and attached to a research project as a collaborator or a research assistant;

“University resources” includes human, financial, physical and any other resources that is under jurisdiction of the University; and

“University” means the Moshi Co-operative University (MoCU).

3. This Code shall be read together with the relevant Acts, Rules, Regulations, and any other policies guidelines existing or to be issued by the University from time to time.

Application

PART II RATIONALE, OBJECTIVES, GENERAL PRINCIPLES OF THE CODE

4. The rationale of this Code includes the following:
- (a) That ethical and scientific intellectual culture is cultivated and maintained among staff and students researches;
 - (b) That the rights and interests of human participants are protected. This is particularly important where information gathered has the potential to invade the privacy and dignity of participants, and where participants are vulnerable owing to their youth, age, poverty, disease, ignorance or powerlessness;
 - (c) That research is ethical in increasingly diverse research areas, including collaborative research. Such collaboration raises particular ethical issues, which include the possible exploitation of vulnerable populations, intellectual property rights of indigenous people and benefit for the host country;
 - (d) That ethical and scientific soundness of research is not compromised where lack of funding limits opportunities for research and force cost-saving procedures;
 - (e) That research is ethical where the following are involved: animals, genetic material, agriculture, living organisms, and genetically modified organisms which may negatively affect humans, animals, plants or the environment.

Rationale

5. The objective of this Code shall include the following:
- (a) To enable researchers enhance their capacity to undertake research;
 - (b) To enable researchers maintain their independence, especially when confronted with undue influence or pressure which may compromise their integrity or that of their research;
 - (c) To discourage unethical research practice;
 - (d) To serve as a basis for policy makers and to provide an enabling environment for the practice of ethical research;
 - (e) To provide an additional resource for the teaching and training of students in research;
 - (f) To make ethics an integral part of the planning and methodology of research;
 - (g) To preserve and promote the autonomy, quality, legitimacy and credibility of research;
 - (h) To protect and promote the rights of research participants and honour their trust in researchers and research;
 - (i) To strengthen the research ethics review system in the University where research involves human participants, animals, or other living or genetically modified organisms;

6. (1) The University expects all research carried out at the University or in its name to be conducted to the highest standards of integrity. This Code provides a framework for the governance of all research throughout the University. It requires all those undertaking and/or contributing to research to operate honestly and openly in respect of their own actions and in response to the actions of others involved in research;

(2) The University requires all Staff, Emerituss Professors, Honorary Staff, Visiting Staff and all Registered Students (whether undergraduate or postgraduate) involved in research to abide by this Code. Any other individual who collaborates in research with MoCU Staff and Registered Students shall be expected to abide by this Code when working with the University unless otherwise agreed.

(3) This Code is linked to and operates in conjunction with conditions of employment for the relevant Staff groups and other related University policies and procedures. Failure to abide by this Code may lead to the matter being considered under the University's disciplinary procedures;

(4) Any alleged breach of this Code shall constitute a misconduct and shall be handled in accordance with the appropriate University disciplinary procedures;

(5) All researchers must familiarize themselves with this Code. Heads of Schools, Faculties, Directorates, Institutes, Departments, Campuses, Teaching Centers and Regional Offices have a

responsibility to ensure compliance with the Code in their areas;

The University will draw attention to the Code in its induction processes for newly appointed Staff and Registered Students;

(1)Supervisors of Registered Students will seek to ensure full compliance with the Code;

(2)The University will draw attention on relevant training and development modules to ensure that all researchers are aware of best practice requirements;

(3)The University recognizes and protects the principle of academic freedom and this Code is not intended to restrict the academic freedom of Staff. However, each member of Staff is expected to exercise their academic freedom in a manner consistent with this Code;

PART III INTEGRITY, ACCOUNTABILITY AND RELATIONSHIP AMONG RESEARCHERS

7. (1)Everyone involved in research in the University owes a duty of accountability to the University, to all participants in their research, and to their research funders commensurate with their involvement in that research.

**Integrity and
Accountability**

(2)Individuals must accept responsibility for their own conduct in any research and for providing direction for the activities of any Staff or Registered Student under their supervision;

8. (1)The Principal Researcher or Principal Investigator in any research should identify clear roles and accountabilities for all those involved in any research project, and should ensure that all involved are informed of their responsibilities. Areas of Accountability include:

Accountability

- (a)** The ethical basis of the research and the research design,
- (b)** The safety of all involved in the research,
- (c)** Ensuring that research is conducted in a suitable working environment with appropriate equipment and facilities,
- (d)** The probity of financial management of all projects and for seeking to provide the optimum value for the public or private funders, who have invested in them,
- (e)** Effective project management to agreed project plans and appropriate quality standards, including timely delivery of any scheduled, tangible outcomes,
- (f)** Management of research data in accordance with the required procedures,
- (g)** Seeking to ensure timely and wide dissemination of research findings,
- (h)** As appropriate undertaking professional development

relevant to the research and ensuring that all others involved in the research have received relevant training.

(i) Maintaining personal records of research progress,

(j) Maintaining confidentiality in order to achieve protection of intellectual property rights where appropriate,

(k) ensuring research participants participate in a voluntary way, free from any coercion and are properly informed of any risks, the broad objectives and of the identity of any sponsors of the research,

(l) Using all best endeavors to avoid unnecessary harm to participants, other people and the natural environment, having taken due account of the foreseeable risks and potential benefits of the research,

(m) Being alert to the ways in which research derives from, and affects the work of others, and respecting the rights and reputation of others.

(2) When peer reviewing research proposals or results (including manuscripts submitted for publication), researchers must protect the confidentiality of information provided and disclose any conflicts of interest and any areas of limited competence, and must not misuse or misappropriate the content of the material being reviewed;

(3) Researchers must be honest and lawful in respect of their actions relating to research and in response to the actions of other researchers. This applies to the whole range of research activity, outputs and deliverables, including applying for funding, experimental design, generating and analyzing data, publishing results and acknowledging the direct and indirect contribution of colleagues, collaborators and others;

(4) Where a researcher has concerns about whether the obligations of accountability as set out in clause 7(3) can be met or is in doubt about the applicability of provisions of the Code to their part in any research, or about the appropriate course of action to be adopted in relation to it, advice should be sought from the Directorate of Research and Postgraduate Studies. All responses from the Department or Committee appointed to work on such matter on behalf of the Directorate of Research and Postgraduate Studies shall be in writing and will be retained for future access as appropriate;

- 9. (1)** Researchers shall have the following rights:
- (a)** They have the fundamental right to academic freedom and freedom of scientific research,
 - (b)** They 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,
 - (c)** They have a right, as well as a duty, to refrain from undertaking or continuing any research that contravenes this Code. If they feel that the Code or ethical principles are being violated, or that the

**Rights and
duties of
researchers**

study is unethical, they should make all possible efforts to make corrections,

10. Researchers shall have the following responsibilities:

**Responsibilities
of Researchers**

(1) They may undertake only such research involving human participants, animals, other living or genetically modified organisms as may be approved by the Senate Research and Publications Committee,

(2) They should undertake only such research as, according to their understanding, will benefit the society and contribute to knowledge on the subject,

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

(4) They should publish research findings in a manner which will not harm research participants or their communities,

(5) They should not undertake secret or classified research, any secret assignment under the guise of research or research whose findings are to remain confidential,

(6) They should endeavour to convince client(s)/sponsor(s) /funder(s) of the importance of publishing research findings in scientific journals,

(7) They 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,

(8) They should take reasonable corrective steps when they come across misuse or misrepresentation of their work,

(9) They 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,

(10) They should 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,

(11) All Staff, PhD and Master's students whose research is being undertaken at or coordinated by MoCU have the responsibility of obtaining plagiarism clearance from the respective

Department/Directorate/Institute.

- 11. (1)** Principal researcher(s) is/are responsible for the ethical conduct of research assistants, students and trainees under their supervision. Research assistants, students and trainees have a responsibility to act ethically and to observe this Code;
- (2)** Research assistants, students and trainees have the right to receive, and principal researchers have the responsibility to provide, proper training and guidance on all aspects of research, including ethical conduct;
- (2)** The principal researchers may delegate to research assistants, students and trainees responsibilities that they are reasonably capable of performing on the basis of their education, training or experience, either independently or under supervision;
- (3)** Researchers should not engage in discriminatory, harmful or exploitative practices or harassment or not impose their views or beliefs on or try to seek personal, sexual or economic gain from anybody, including other researchers, research assistants, trainees or students;
- (4)** Researchers should not deceive or coerce other researchers, including research assistants, trainees and students into serving as research participants;
- (5)** Students, either as research participants or as research assistants, have the right to end involvement in the research without having to face adverse consequences;
- (6)** Students working on research as a tuition requirement should not be exploited by advisors or mentors, nor used as cheap labour;
- (7)** In addition to researchers and students, other individuals such as administrative employees of MoCU who may have access to data or identifying information, should be briefed on ethical issues contained in this Code, including the participants' right to confidentiality;

**Relationship
among
researchers**

PART IV COLLABORATIVE RESEARCH CLIENTS AND FUNDING AGENTS

- 12.** 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. Research collaborators include, but not limited to:
- (a)** Clients or sponsors,
 - (b)** The society and the government,
 - (c)** Fellow researchers.

**Collaborative
research**

- (d) Students,
- (e) Other institutions of higher learning,
- (f) The private sector.

13. Research conducted for clients and sponsors who prescribe specific objectives is subject to the normal conventions of contract research and also to the applicable University rules for contract work. The following important ethical issues should be observed when dealing with clients or sponsors of research:

Collaborative research Clients or Funding Agents

Any conflict of interest should be avoided and all researchers are required to disclose any existing or potential conflict of interests. Interference by clients or sponsors that could compromise the integrity of the research is unacceptable,

Conflict of interest

Agreements with clients and sponsors of research are subject to the MoCU rules and procedures. Information regarding the identity of participants in contract research will not be made available to sponsor(s), unless the individual participants agree,

Confidentiality of research result

Remuneration agreements for participants and researchers should be set out in the contract or in the conditions of grant (often based on a funding application), as well as other approved budgetary items. Although the legal agreement for the funding of a specific project is between the sponsor and MoCU, the general responsibility for the financial management of a funded project rests with the Principal investigator/project/programme leader. Funds should be spent within the confines of the contract or grant,

Financial obligation

Control of both University and government property is usually determined by external contracts and as well as by the Government and University regulations, guidelines and policies. Principal Investigators/Project/programme leaders are responsible for the required approval for purchasing equipment, for reporting it to the University and for ensuring that it is properly marked, and also for the removal thereof where necessary,

Equipment control

The costs of the preparation of research proposals and other activities in support of new fields of research may not be offset against funded projects or project costs intended for other purposes,

Funds for new fields of research

Researchers should accomplish the objectives of the research within the agreed period.

Accomplishment of the research

**PART V
OBLIGATIONS OF RESEARCHERS TO THE SOCIETY AND
GOVERNMENT**

14. (a) Researchers should, at all times endeavour to serve the whole society and contribute to the well-being of all Tanzanians.

The society and government

- (b) Researchers should be aware and respond to the priorities identified by the government and the University with regard to pressing socio-political and economic issues in the society,
- (c) Researchers should recognize the right of the community to have access to research findings and information as far as it does not encroach upon the right of clients, sponsors or participants in research.

**PART VI
RIGHTS AND RESPONSIBILITIES OF FELLOW
RESEARCHERS, RESEARCH STUDENTS, FUNDERS AND
CLIENTS**

- 15. (1)** MoCU researchers are encouraged to undertake joint research projects with their colleagues within MoCU, local and foreign institutions and to promote inter- or multidisciplinary research or to take part in such research. In such instances, researchers have the responsibility to:
- (a) Ensure that they are familiar with relevant policies and regulations of the institutions concerned, e.g. Research Policy and Guidelines and the Intellectual Property Right Policy,
 - (b) Emphasize rightful acknowledgement in the presentation of ideas and the publication of manuscripts,
 - (c) Ensure authorship is awarded only to those persons who have made an original and significant contribution to the conceptualization, design, execution and interpretation of the published work,
 - (d) All authors should approve the final version of the manuscript and should be prepared to accept responsibility for the work in public.
- 16. (1)** The University has an obligation towards the broad academic community, the students and the public to ensure that all students involved in research activities do so with responsibility and with respect at the highest professional standards;
- (2)** Research supervisor, project leaders and heads of department share the responsibility for providing an open and equal research environment which protects the interests of students, research assistants and other vulnerable persons undergoing training. They must ensure that students are:
- (a) Given fair acknowledgement for original work,
 - (b) Treated as peers with the same professional courtesy, and
 - (c) Aware of their obligations and sign relevant research contracts applicable at the University.
- (3)** Research supervisors and project leaders are responsible for:
- (a) Providing a training environment in which issues relating to ethical values are discussed freely,
 - (b) Ensuring that students have at least a basic understanding of

**Fellow
Researchers**

**Research
students**

research ethics and are able to identify and deal with the ethical issues relating to their research, results and publications, and
(c) Ensuring that the research relationship or project is begun with a clear understanding of mutual responsibilities, a commitment to maintain a supportive research environment, proper supervision and review and an understanding that the main purpose of the relationship is to prepare trainees to become successful researchers.

(4) Students in turn have a responsibility to:

- (a)** Complete assigned work diligently,
- (b)** Respect the authority of others working in the research setting,
- (c)** Follow research regulations and protocols,
- (d)** Abide by agreements established for authorship and ownership intellectual properties, and
- (e)** Understand, sign and abide by research agreements that may be provided to them.

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

Funders and clients

(2) There shall be a contract between the parties which should specify the terms agreed on, including the rights and obligations of the parties involved, and the sharing of intellectual property rights and benefits;

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

(4) Researchers should recognise the right of the client/sponsor/funder to request information from them at any stage in the course of the research. However, interference that may jeopardize the scientific integrity of the study or the interests of the research participants may oblige the University to cancel the cooperation.

(5) Clients/funders/sponsors should be made aware of the Code. They have the right to receive a copy of the Code and to expect that the research proposal submitted for funding or sponsorship by researchers and the University contains the necessary information on ethical issues and complies with the Code.

(6) Clients/funders/sponsors should respect the Code of Research Ethics and should not expect researchers or the University to undertake research or conduct which is in any way contrary to the Code.

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

PART VII AREAS OF ETHICAL CONSIDERATION

18. (1) Researchers must collect data, using appropriate methodology and recording practices, and apply appropriate quality assurance mechanisms;

Research Data

(2) Researchers must keep clear and accurate records of the research procedures they followed and the results obtained, including interim results;

(3) Research data must be recorded in a durable and auditable form, with appropriate references so that it can readily be recovered;

(4) Unless already regulated by legislation or confidentiality agreements, or where there are valid ethical reasons for not doing so, primary research data and research evidence must be accessible in confidence to other authorized researchers for verification purposes for reasonable periods after completion of the research;

(5) Unless there are particular reasons, including any legal or regulatory requirements, for not doing so, data should be stored in their original form. Storage media such as tapes and disks should not be erased and/or reused, but should be stored securely;

(6) It is the duty of the Principal Investigator in any research project to comply with the above clauses (16(1) – 16(5)). Advice on appropriate procedures for compliance with the data storage shall be obtained from the Directorate of Research and Postgraduate Studies.

(7) Some central issues for researchers in relation to personal data include:

(a) All Staff and Registered Students using personal data in research have a duty of confidentiality to the individuals concerned,

(b) Unless there are ethically or legally justified reasons for doing otherwise, researchers must ensure that they have each study participant's explicit informed written consent to obtain, hold and use their personal data,

(c) Data security arrangements must be sufficient to prevent unauthorized breaches of confidentiality or unauthorized disclosure of personal data, and

(d)The University, through the Directorate of Research and Postgraduate Studies, will develop and implement procedures for complying with the data protection and records management.

(8)The University is responsible for establishing appropriate procedures for security and retention of research data in a form which would enable retrieval by an authorized third party, subject to any limitation imposed by the confidentiality of personal data;

(9)Specific arrangements should be made to protect the security of research data where there is a contractual requirement to do so;

(10)Research data related to publications should be available for discussion with other researchers, except where confidentiality provisions prevail;

(11)It is the duty of the Principal Investigator to familiarize himself/herself with any provisions of confidentiality relating to any particular research grant or contract and to inform researchers under his/her supervision of their duties with respect to these provisions;

(12)Where appropriate, validated data can be shared once researchers have had the opportunity to establish the priority for their work through publication.

(13)The conditions for transfer of materials to another institution shall be stipulated in an agreement between the relevant parties;

(14)The Principal Investigator should also ensure that third-party Intellectual Property rights are not breached.

19. (1)Publication is the dissemination of the outcomes of scholarship and research not only in conventional paper form but also in other media, including electronic media. In this context publication may be taken to include, inter alia, books, chapters, articles, conference proceedings, reviews, patents, catalogues, compositions, the production of creative arts, software and databases;

Publications

(2)Ethical considerations apply to the production of all categories of publication and external communications, including web-sites, e-bulletins, press releases, media briefings or other events;

(3)The University expects researchers to abide by the University's core principles of openness, transparency and accountability and adopt appropriate ethical and professional standards and responsibilities in their publications;

(4)Good practice requires that all the University Staff include the details of their research outputs in the relevant University research

publications databases according to the relevant procedures for recording that information;

(5) Staff and Registered Students should also help to ensure wide dissemination of their publications and therefore cooperate in requests from the University to include their outputs in a publicly accessible repository where appropriate;

(6) There is a fundamental ethical obligation on authors to acknowledge and attribute external sources of information. Citation of sources should be carried out in accordance with the APA referencing system which has been adopted as standard by the University, or in accordance with the house style of the relevant publisher and/or the normal practices of the discipline concerned;

(7) Failure to cite sources could, inter alia, constitute plagiarism and may be subject to disciplinary measures;

(1) The University cannot endorse citation arrangements which are contrary to academic conventions (such as citation clubs or the unnecessary use of self-citation). Guidance will be provided by the Directorate of Research and Postgraduate Studies as to acceptable use of self-citation;

20. (1) It is in the interests of Staff, Registered Students and the University that good practice in the matter of co-authorship is disseminated, understood and followed;

Authorship

(2) New researchers should familiarize themselves with the principles of authorship of articles in journals, the conventions of their particular discipline and any specific guidelines that may be issued by the University from time to time;

(3) A publication must contain appropriate reference to the contributions made by all those who have made what might reasonably be regarded as a significant contribution to the relevant research;

(4) Any person who has materially contributed through conceiving, executing or interpreting at least part of the relevant research should be given the opportunity to be included as an author of a publication derived from that research;

(5) Accepting the status of co-author implies a full commitment to having one's name and reputation fully associated with the content of the publication;

(6) In interpreting clause 18(3) - 18(5) above, researchers should, where appropriate, be guided by the Protocols on determining authorship. However, no provision of the protocols should be used as a reason for excluding from authorship any researcher who has

contributed materially to the research;

(7)The order of authorship should be a joint decision of the authors, proposed at an early stage of drafting the paper and finalised, depending on actual contributions, before submission to the publisher;

(8)In a joint publication of a postgraduate student with his/her supervisor, the student shall, unless there are circumstances to the contrary, appear as the first author;

21. (1) Any person who has contributed to at least part of the research, (but who does not fulfill the criteria set out in clause 18(3) - 18(5) above on authorship) should not be included as an author of a publication derived from that research, but their contribution should be acknowledged in accordance with clause 18(10).

Recognition of contributors

(2) It is a general ethical obligation that the contributory efforts of persons who have helped in the work being reported in a publication should be recognized and acknowledged. This includes financial sponsors, colleagues within and outside the University who have given advice and any others who have facilitated the collection of material or data on which the publication is based.

(3) A publication which is substantially similar to other publications derived from the same research must contain an appropriate reference to the other publications. A researcher must disclose to a publisher at the time of submission (a) substantially similar work which is being submitted to another publisher at the same time or (b) work which has been previously published; and

(4) In contract and collaborative research, it shall be necessary to seek permission for publication from all parties to the contract in advance of submission of the work to a publisher.

22. (1) The University supports its staff's research activities indirectly through payment of salary and provision of working infrastructure and directly through provision of grants or awards;

Acknowledgement of University's and other institutions support

(2) Collaborations between researchers may lead to indirect support;

(3) Direct acknowledgement of the University's indirect support (salary or basic infrastructure) is not necessary but any article that results from such support shall indicate the University's address as the author's address;

(4) The author's address shall use the University's address if his work was entirely done while the author was/is at the University. This shall apply even if the paper is published after the author has left the University;

(5)If the work has been done at more than one institution then the addresses of each institution should be used as the author's address, either as alternative addresses, or with the main address being that of the institution at which most of the work was done and the addresses of the other institutions appearing in a footnote;

(6)If the University staff is paid and receive other benefits during sabbatical leave, the author's address for work done while on sabbatical leave shall include the University's address;

(7)Direct support for research in the form of grants should be acknowledged at the end of the article in the manner required by the grant-giving body; and

(8)University productivity awards and similar University funding need not be specifically acknowledged.

23. Referees should be careful about the following:

Peer review

(1)Referees undertake to complete their work expeditiously. If they cannot complete their reviews within a reasonable time, they should ask the editor to select another referee,

(2)No use should be made on any of the ideas or results in the work under review until it has been published,

(3)Care should be taken to avoid conflict of interest. If the referee is following a very similar line in his/her own work, the work under review should in no circumstances be held up improperly. If the referee is in any doubt of his/her impartiality, the work should be returned to the editor with the request that another referee be sought, and

(4)It is allowed to consult a colleague for technical advice, provided that there is agreement that this is done on the same basis of confidentiality as is required of the referee. Such consultation should be disclosed to the editor.

24. (1)Plagiarism is the unattributed and unaccredited use of the ideas and work of others whether this is in published work or in unpublished documents. Such reproduction certainly constitutes plagiarism and may also be illegal breach of copy right;

Plagiarism

(2)Electronic plagiarism-checking technology should be used to check draft manuscripts and research publications; and

(3)Any act of plagiarism shall account for disciplinary measures as per respective regulations;

25. (1)Unless Intellectual Property is assigned to a research Sponsor or Funder as a condition of grant or contract, intellectual property and any intellectual property rights therein developed during research by Staff in the course of their employment belongs to the University.

**Intellectual
Property and
Copyright**

(2) Researchers are required to familiarize themselves with and to abide by the terms relating to intellectual property and confidentiality in any grant, contract or collaboration agreement relating to their research projects.

(3) Breach of confidentiality relating to externally funded or collaborative research projects may result in actions for recovery of losses from a Sponsor against the University and the individual concerned.

(4) Researchers who leave the University are reminded that Intellectual Property developed during their employment, which is owned by the University or any research funder to whom such Intellectual Property has been assigned in accordance with the relevant contract, remains the property of either the University or that organization and may not be divulged to third parties without permission from the owner of the Intellectual Property unless it is already in the public domain.

(5) Information received from third parties under terms of confidentiality whilst in the University remains confidential, and breaches of such confidentiality may render the researcher liable to claims by the owner of the information.

(6) All reports issued by researchers should bear an appropriate assertion of copyright.

(7) Where the publisher has a general policy of not granting copyright to third parties once it has been assigned to the publisher, Staff and Registered Students are required to submit a statement to the publisher (a standard version of which shall be made available by the University) asserting the University perpetual right of license to use the material for all non-commercial purposes without charge following the assignment.

26. (1) In the exercise of their functions researchers should not be constrained to reach any particular conclusion or to make any particular recommendations. In the event the researcher finds him/herself in a position where there is an actual or potential conflict of interest he will need to make an appropriate disclosure of the conflict of interest.

Conflicts of Interest

(2) Conflict of interest may take several forms:

(a) Conflict of interest of a financial nature could arise from any personal or close family affiliation or financial involvement with any organization sponsoring or providing financial support for a project undertaken by a researcher, or which is providing goods and services to the University. Financial involvement includes direct personal financial interest, provision of personal benefits (such as travel and accommodation) and provision of material or facilities for personal use.

(b) Conflict of interest can arise in situations so as to risk compromising the decision making of the University or third parties or the proper execution of the University procedures. This can be in consequence of actions taken or procedures followed in collaborating or sponsoring organizations which could result in non-financial benefits to the researcher. (e.g. the granting of favours, or inappropriate inducements or an inappropriate influence on decisions to the advantage or detriment of the University).

(c) A disclosure of a personal potential or actual conflict of interest in research must be made to the University (through the respective Department/Faculty/directorate/Institute) as soon as is reasonably practicable and in accordance with any guidance issued from time to time. Failure to declare known conflicts of interest may be deemed misconduct.

(d) A member of Staff must comply with a direction made by the University in relation to personal conflict of interest in research. The researcher will have the right of appeal if s/he considers the direction to be unlawful, unreasonable or impracticable.

- 27.** A conflict of commitment occurs when the acts of a member of the University to external activities affects his/her ability to meet his/her commitments to the University. Generally, University researchers' duties include: teaching, research, research supervision and fulfilling administrative functions. It is expected that these commitments will be fully met, not only in line with the requirements of the University policies and practices, but also in the spirit of the University's vision. In undertaking external activities, University researchers should avoid the possibility of conflict of commitment.

**Conflict of
Commitment**

- 28. (1)** The University requires that all Staff and PhD and Master Students' research projects undergo an ethical review by the Senate Research and Publications Committee or external ethical review committee will be conducted. Where required by law/s confirmation should be sought from the relevant body as to whether or not the research needs to be reviewed by a National Research Ethics Committee/service.

Ethical Review

(2) Responsibility for ensuring proper ethical review lies with the Principal Investigator. In the case of PhD and Master Students, the academic supervisor of the research is responsible for ensuring that the postgraduate researcher obtains ethical review for their research project.

(3) No research project (or stage of a research project) may be conducted unless and until the project (or that stage) has been granted ethical approval by the Senate Research and Publications Committee

(4) Failure to obtain appropriate ethical approval will be deemed a breach of this Code.

29. (1) Any special standards of work performance or conduct imposed by law/s or by the University in relation to particular categories of research are deemed to be included in this Code in its application to persons engaged in that research in the University.

Additional Requirements

(2) Researchers should familiarize themselves with the terms of any funding agreement (grant or contract) related to their work, and ensure that any research undertaken is consistent with those terms and conditions.

(3) Researchers must report to the University any events which result in unforeseen financial consequences or which could be damaging to the good name and reputation of the University.

(4) As appropriate, Health and Safety Risk Assessment should be carried out for all research work. Any procedures which may present a hazard to the researcher, participants, or to the public should be discussed with the University.

30. (1) Researchers have a duty to monitor and report any adverse events occurring in the course of the research and each researcher must have systems in place to ensure that all such adverse events are recorded and, if appropriate, investigated. In this context, an adverse event is an event which results harm to the researcher, the research participants, or the environment.

Adverse Events

(2) Accidents, incidents and "near misses" occurring during the course of research should be reported to the respective Department/Faculty/Directorate/Institute.

(3) Researchers should be aware that there may be a legal or regulatory requirement for them to report adverse events directly to external bodies.

PART VIII MISCONDUCT

31. Misconduct in research is a failure to comply with the provisions of this Code and, without limiting the generality of the foregoing provisions, shall be taken to include:

Specific forms of Misconduct

(1) Fabrication, including the creation of false data or other aspects of research including research documentation such as regulatory or internal approvals or participant consents:

(2) Falsification, including:

(a) Falsification and/or inappropriate manipulation and/or selection of consent;

(b) Falsification and/or inappropriate manipulation and/or selection of data/imagery with the intention to deceive.

(3) Plagiarism, including but not limited to:

(a) The wrongful appropriation or purloining and publication as one's own, of the thoughts, ideas or the expression of ideas (literary, artistic, musical, mechanical, etc) of another; and

(b) The deliberate exploitation of the ideas, work or research data of others without proper acknowledgement.

(4) Misrepresentation, including:

(a) falsely or unfairly presenting the ideas or the work of others as one's own, whether or not for personal gain or enhancement, including both by deliberate mis-statement or as a result of negligent or inadequate reference;

(b) misrepresentation of data for example suppression of relevant findings with intention to deceive and/or data or knowingly, recklessly or by gross negligence presenting a flawed interpretation of data;

(c) misleading ascription of authorship to a publication;

(d) undisclosed duplication of publication, including undisclosed simultaneous duplicate submission of manuscripts for publication

(e) deliberately attempting to deceive when making a research proposal;

(f) misrepresentation of skills, qualifications and/or experience, including claiming or implying skills, qualifications or experience which are not held;

(g) misrepresentation of interests, including failure to declare material interests either of the researcher or of the funders of the research.

(5) Mismanagement of data and/or primary materials, including failure of researchers to:

(a) keep clear and accurate records of the research procedures followed and the results obtained, including interim reports;

(b) hold records securely in paper or electronic form;

(c) make relevant primary data and research evidence accessible to others for a reasonable period after the completion of research;

(d) manage data according to any data policy of a research funder/ relevant legislation.

32. Breach of any relevant duty of care, which may involve recklessness or gross negligence, including;

(a) breach of confidentiality of individuals or groups involved in research whether researchers or research subjects without their consent, including, for example, improper disclosure of the identity of individuals or groups ;

(b) placing any of those involved in research in physical danger, whether as researchers, research subjects, participants,

**Breaches of Duty
of Care**

or associated individuals, without their prior consent, and without appropriate safeguards where informed consent is given;

(c) not taking all reasonable care to ensure that the risks and dangers, the broad objectives, and the sponsors and funders of research are made known to participants or their legal representatives in order to ensure that appropriate informed consent is obtained properly, explicitly and transparently;

(d) failing to obtain appropriate informed consent, unless there are valid reasons for not doing so, and that permission to conduct research without appropriate informed consent has been obtained from the research ethics committee;

(e) failing to obtain appropriate ethical approval to conduct research;

(f) unethical behaviour in the conduct of research including failing to comply with any requirements or stipulations contained in ethical or regulatory consent;

(g) failing to meet relevant legal or ethical requirements and to follow any protocols set out in the guidelines of appropriate, recognized professional, academic, scientific and governmental bodies;

(h) unauthorized use of information acquired confidentially.

33. General Misconduct, shall include:

(a) the misuse of research findings;

(b) failure to declare an actual or potential conflict of interest which may significantly compromise, or appear to significantly compromise, the research integrity of the individual concerned and the accuracy of any research findings or bring the University into disrepute;

(c) inciting others to commit research misconduct;

(d) failure to declare (where known) that a collaborative partner has been found to have committed research misconduct in the past or is currently being investigated following an allegation of research misconduct. Such declarations should be made to the University.

(e) facilitating misconduct in research by collusion in, or concealment of, such action;

(f) submitting an accusation of research misconduct based on vexatious or malicious motives;

(g) breach of University or externally contracted confidentiality, except where part of genuine whistle-blowing actions is made to the University;

(h) fraud, including financial fraud;

(i) any misconduct which would normally be regarded as a disciplinary matter if conducted on University premises, which is committed whilst working on a collaborating institution's premises or other off-campus facility or research site, whilst conducting a university or collaborative research project, secondment, or industrial placement.

**General
Misconduct**

**Duty to report
breach of Code**

34. (1) Researchers and other members of Staff have a duty to report any breach of this Code where they have good reason to believe it is occurring, to the relevant authorizes within the University.

(2) The University considers an accusation of research misconduct to be within its limit and suitable for consideration according to its relevant disciplinary procedures if it:

(a) concerns a member of Staff, Honorary Staff, Emeritus Staff or Registered Student; or a Visiting Researcher under the supervision of a member of Staff, and

(b) involves a current member of Staff or Honorary Staff, whether or not it is alleged to have occurred at a location external to the University.

(3) Where possible, the University will follow an investigation through to completion even in the event that the individual(s) concerned has left or leaves its jurisdiction, either before the accusation was made or before an investigation is concluded.

(4) For the protection of the complainant and of the party against whom the allegations are made, all enquiries (including the formal investigation, if any) should be conducted on a basis of confidentiality within the process (wherever possible) as well as of integrity and non-detriment so that neither party should suffer solely as a consequence of the allegation being made in good faith.

(5) Following the completion of an investigation and should research misconduct be found, the University may consider additional measures. Such additional measures might include (but are not limited to):

(a) retraction/correction of articles in journals or other published material;

(b) withdrawal/repayment of funding;

(c) notification of misconduct to regulatory bodies;

(d) notification of other employing institutions/organizations;

(e) notification of other organizations involved in the research including the funders of the research;

(f) review of internal management and/or training and/or supervisory arrangements; and

(g) make any public statement necessary to protect the good name and reputation of the University;

35. (1) Where serious misconduct is found to have occurred, especially where this would appear to have been premeditated a report to relevant statutory or regulatory bodies may be required to be reported.

**Serious
Misconduct**

(2)The University retains the right to report proven allegations of serious research misconduct against its Staff, Honorary Staff, former Staff and Registered Students, to potential new and subsequent employers. Where employees or students of another institution involved in a collaborative project with the University are implicated in a University finding of serious research misconduct, then the University shall notify the home institution of those individuals involved.

(3)The identity of any individual reporting research misconduct where it is genuinely suspected will be kept confidential wherever practicable. However, it may be necessary to reveal the identity of the individual reporting misconduct if this is deemed legally necessary to allow the person accused of misconduct to conduct their defense.

(4)There should always be an opportunity for response by a complainant if the allegation is not accepted and if they believe that they have been misunderstood or key evidence overlooked.

(5)Where there is prima facie evidence that an allegation of research misconduct is founded on vexatious or malicious intent, that allegation may be considered as a disciplinary matter.

(6)All new members of Staff (including Honorary Staff) will be required to sign a declaration stating that they have not been found to have committed serious research misconduct (i.e. warranting at least a formal written warning) prior to their appointment and are not currently under investigation by another institution following an accusation of research misconduct.

PART VI MISCELLANEOUS PROVISIONS

36. (1)The responsibility of monitoring and evaluating compliance to ethical conduct of staff and students undertaking research reside within the Directorate of Research and Postgraduate Studies (DRPS).

**Implementation
of the Code**

(2)All research conducted using the University resources shall require ethical clearance by the Directorate of Research and Postgraduate Studies through the Senate Research and Publications Committee. The Senate Research and Publications Committee shall also be comprised of the Director of Research and Postgraduate Studies, Legal Officer and representatives from Faculties/Institutes/Directorates/Regional Offices.

(3)This Code shall be implemented in harmony with the University's Policies, Regulations, Guidelines and relevant Government Laws.

(4)Tanzania is a signatory to a number of International Conventions and Treaties influencing the global research ethics

issues, provisions in the government guidelines and regulations shall take precedence upon events of conflicting interpretations.

(5) Any exception to the terms of this Code shall require the written consent of the Senate.

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|--|-------------------------------------|
| <p>37. Failure to observe the requirements of the Code may be grounds for disciplinary action under the Conditions of Service applying to staff of the University or under the Students' Disciplinary Rules as appropriate</p> | <p>Breaches of the Code</p> |
| <p>38. The Code shall come into force from the date of its approval by the University Council and shall remain valid and binding until revoked.</p> | <p>Effective date</p> |
| <p>39. This Code may be reviewed from time to time as the need arises and the effectiveness of its implementation with a view to determining areas that need review. The review shall take into account changes within the University and those at national and international levels.</p> | <p>Review and Amendments</p> |

FIRST SCHEDULE

FORMS

F1. RESEARCH CODE OF ETHICS UNDERTAKING

**MOSHI CO-OPERATIVE UNIVERSITY (MoCU)
CHUO KIKUU CHA USHIRIKA MOSHI**

To be signed by all Staff, Master's and Doctoral students

I,hereby acknowledge that I am familiar with the provisions of the Moshi Co-operative University Research Code of Ethics and Conduct, 2017 and I under take to comply with its requirements.

Staff/Student Name and ID/Registration

No.....

Department

Signature:..... Date:.....

F2. RESEARCH ETHICS CLEARANCE APPLICATION FORM

**MOSHI CO-OPERATIVE UNIVERSITY (MoCU)
CHUO KIKUU CHA USHIRIKA MOSHI**

**[PLEASE NOTE THAT THE FORM MUST BE COMPLETED IN TYPED SCRIPT
HANDWRITTEN APPLICATIONS WILL NOT BE CONSIDERED]**

SECTION A: PERSONAL DETAILS

1. Full Name & Surname of Applicant: _____
2. Title: Ms. Mr. Mrs. Dr. Professor
3. Applicant's sex: _____
4. Student Registration Number (where applicable): _____
5. Staff ID number (where applicable): _____
6. School/Faculty/Directorate: _____
7. Department: _____
8. Campus: _____
9. Qualifications: _____
10. Proposed Qualification for Project: _____
(In the case of research of degree purposes)

SECTION B: CONTACT DETAILS

1. Tel. No.: _____
2. Cell. No.: _____
3. e-mail: _____
4. Postal address (in the case of students and external applicants): _____

SECTION C: SUPERVISOR/PROJECT LEADER DETAILS

NAME	TELEPHONE NO.	EMAIL	DEPARTMENT / INSTITUTION	QUALIFICATIONS

SECTION D: PROJECT DESCRIPTION

Please do *not* provide your full research proposal here: what is required is a short project description of not more than two pages that gives, under the following headings, a brief overview spelling out the background to the study, the key questions to be addressed, the participants (or subjects) and research site, including a full description of the sample, and the research methods

1. **Project title:** _____
2. **Location of the study** (where will the study be conducted): _____
3. _____
4. **Objectives of and need for the study:** (Set out the major objectives and the theoretical approach of the research, indicating briefly, why you believe the study is needed):

5. **Questions to be answered in the research** (Set out the critical questions which you intend to answer by undertaking this research): _____
6. **Research approach/ methods:** (This section should explain how you will go about answering the critical questions which you have identified under 2.4 above. Set out the approach within which you will work, and indicate in step-by-step point form the methods you will use in this research in order to answer the critical questions).

For a study that involves surveys, please append a provisional copy of the questionnaire to be used.

SECTION E: PROPOSED WORK PLAN

Set out your intended plan of work for the research, indicating important target dates necessary to meet your proposed deadline.

STEPS	DATES

SECTION F: ETHICAL ISSUES

The University Code of Research Ethics and Conduct, 2017 applies to all members of staff, postgraduate and undergraduate students who are involved in research on or off the campuses/regional offices of Moshi Co-operative University. In addition, any person not affiliated with MoCU who wishes to conduct research with MoCU students and / or staff is bound by the same ethics framework. Each member of the University community is responsible for implementing this Code in relation to scholarly work with which she or he is associated and to avoid any activity which might be considered to be in violation of this Code.

All students and members of staff must familiarize themselves with AND sign an undertaking to comply with the University's "Code of Research Ethics".

QUESTION 1:

Does your study cover research involving:	YES	NO
Children		
Persons who are intellectually or mentally impaired		
Persons who have experienced traumatic or stressful life circumstances		
Persons highly dependent on medical care		
Persons in dependent or unequal relationships		
Persons in captivity		
Persons living in particularly vulnerable life circumstances		

If "Yes", indicate what measures you will take to protect the autonomy of respondents and (where indicated) to prevent social stigmatisation and/or secondary victimisation of respondents. If you are unsure about any of these concepts, please consult your supervisor/project leader.

QUESTION 2:

Will data collection involve any of the following:	YES	NO
Access to confidential information without prior consent of participants		
Participants being required to commit an act which might diminish self-respect or cause them to experience shame, embarrassment, or regret		
Participants being exposed to questions which may be experienced as stressful or upsetting, or to procedures which may have unpleasant or harmful side effects		
The use of stimuli, tasks or procedures which may be experienced as stressful, noxious, or unpleasant		
Any form of deception		

If "Yes", explain and justify. Explain, too, what steps you will take to minimise the potential stress/harm.

QUESTION 3:

Will any of the following instruments be used for purposes of data collection:	YES	NO
Questionnaire		
Survey schedule		
Interview schedule		
Other/ equivalent assessment instrument		

If "Yes", attach copy of research instrument. If data collection involves interviews and/or focus groups, please provide a list of the topics to be covered/ kinds of questions to be asked.

QUESTION 4:

Will the autonomy of participants be protected through the use of an informed consent form, which specifies (in language that respondents will understand):	YES	NO

The nature and purpose/s of the research		
The identity and institutional association of the researcher and supervisor/project leader and their contact details		
The fact that participation is voluntary and responses will be treated in a confidential manner		
Any limits on confidentiality which may apply		
That anonymity will be ensured where appropriate (e.g. coded/ disguised names of participants/ respondents/ institutions)		
The fact that participants are free to withdraw from the research at any time without any negative or undesirable consequences to themselves		
The nature and limits of any benefits participants may receive as a result of their participation in the research		
A copy of the informed consent form is attached		

If not, this needs to be explained and justified, also the measures to be adopted to ensure that the respondents fully understand the nature of the research and the consent that they are giving.

QUESTION 5:

Specify what efforts been made or will be made to obtain informed permission for the research from appropriate authorities.

QUESTION 6:

STORAGE AND DISPOSAL OF RESEARCH DATA:

Please note that the research data should be kept for a period of at least five years in a secure location by arrangement with your supervisor.

QUESTION 7:

In the subsequent dissemination of your research findings – in the form of the finished thesis, oral presentations, publication etc. – how will anonymity/confidentiality be protected?

QUESTION 8:

Is this research supported by funding that is likely to inform or impact in any way on the design, outcome and dissemination of the research?	YES	NO
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If yes, this needs to be explained and justified.

QUESTION 9:

Has any organization/company participating in the research or funding the project, imposed any conditions to the research? YES/NO

If yes, please indicate what the conditions are.

SECTION G: FORMALISATION OF THE APPLICATION

APPLICANT

I have familiarised myself with the University's Code of Conduct for Research and undertake to comply with it. The information supplied above is correct to the best of my knowledge.

NAME OF APPLICANT:
SIGNATURE OF APPLICANT:
DATE:.....

SUPERVISOR/PROJECT LEADER

NB: PLEASE ENSURE THAT THAT THIS FORM IS FORWARDED TO THE DEAN OF FACULTY/DIRECTOR OF INSTITUTE/CENTER FOR FURTHER ATTENTION

NAME OF THE SUPERVISOR/PROJECT LEADER:
.....
SIGNATURE OF SUPERVISOR/PROJECT LEADER:.....
DATE:

RECOMMENDATION OF THE FACULTY/DIRECTORATE/INSTITUTE

The application is (please tick):

<input type="checkbox"/>	Approved
<input type="checkbox"/>	Recommended and referred to the Senate Research and Publications Committee for further consideration
<input type="checkbox"/>	Not Approved, referred back for revision and resubmission

NAME OF DEAN/DIRECTOR:
SIGNATURE:.....
DATE :.....

RECOMMENDATION OF THE SENATE RESEARCH AND PUBLICATIONS COMMITTEE

NAME OF CHAIRPERSON:
SIGNATURE:.....
DATE:.....