

ST. AUGUSTINE UNIVERSITY OF TANZANIA



ACADEMIC ETHICS POLICY

December 2020

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ABBREVIATIONS

AEC - Academic Ethics Committee

AEP - Academic Ethics Policy

DVCAA - Deputy Vice Chancellor for Academic Affairs

SAUT - St. Augustine University of Tanzania

RIEC - Research and Innovation Ethics Committee

RP - Research Policy

DEFINITION OF TERMS

- Academic Ethics:** Refers to ethics covering teaching and learning; research and innovation, consultancy services and community services related to one's academic skills.
- Academic Violation:** Any act of using unjust means to create unmerited academic advantage for oneself or unmerited academic advantage or disadvantage for another member or members of the academic community.
- Community service:** A volunteer work done free of charge by both students and faculty members as a strategy of giving back to the community surrounding the University or College.
- Cheating:** Deliberate attempt of presenting another person's work as one's own, or using illegal materials or techniques as a means to pass an examination.
- Code of Conduct:** A compilation of rules, guidelines and regulations which stipulate what is and is not acceptable or expected behaviour in the University or College.
- Plagiarism:** An intentional or unintentional act of presenting and claiming credits of another person's words, thoughts and concepts without proper acknowledgement. It also refers to the practice of presenting one's own previously published work as though it were new.

1. PREAMBLE

St. Augustine University of Tanzania (SAUT) is committed to be exemplary in quality of scientific, professional performance, conduct and ethics to ensure transparency in whatever activity it undertakes. Likewise, SAUT is characterized by the Endeavour to nurture men and women of higher integrity, committed, principled, accountable and capable of taking leadership roles in the effort to realize the ideals of a just and fair society. Hence, to achieve all these values, members of SAUT community including students as well as its constituent colleges and centres shall hold themselves with higher standards of ethical behaviour as prescribed in this policy. They will be responsible for promoting and ensuring an environment of excellence, respect of human dignity and academic integrity. They will do this in terms of teaching and learning process, research, innovation, publication and community involvement.

The purpose of this Academic Ethics Policy (AEP) is to provide acceptable ethical standards and strategic principles in all academic endeavours. Hence, it shall be regarded as a framework to assist SAUT as well as its constituent colleges and centres to carry out its mission in accordance with the University core values. Those who act against the set standards of this Academic Ethics Policy must be held responsible for their violation. Those who oversee misconduct of academic ethics are responsible to address it in accordance to this policy and other SAUT regulations. This policy covers academic activities: teaching and learning, research, innovation and consultancy services as well as community services. It will not include other businesses of the university such as: Human resources, financial investment, procurement etc. which require mostly inputs from professional bodies.

This policy should be applicable concurrently with other relevant legislation and University regulations. Concurrently

2. TEACHING AND LEARNING ETHICS

2.1 Framework of Teaching and Learning

The acquisition of both theoretical and practical knowledge, perpetual research, innovation, consultancy and publication, development of critical thinking, understanding of student diversities and student motivated learning approach are meant to be the policy components of

the University. They are placed into vibrant application via: professional ethics, scholarship of the teaching practice and conducive learning approach, appropriate teaching and learning infrastructure, learning technologies, perpetual programme, curriculum and extra curriculum renewal.

2.2 Policy Statement and Strategic Principles

Teaching and learning strategy should enable the acquisition of both theoretical and practical knowledge, perpetual research, innovation, consultancy and publication, development of critical thinking, understanding of student diversities and student motivated learning approach. Thus the policy implementation commits to adhere to the following guiding and strategic principles;

- a) Recognizing the mutually interplay between teaching and learning and holistic development;
- b) Commitment for continuous development and renewal of its academic programmes while adhering to the appropriate standards of quality, integrity, ethical governance, and legal compliance;
- c) Committed to safeguarding the interests of its teaching staffs, students and all others engaged with or affected by its teaching and learning activities;
- d) Considers any potential risks of dignity, interests, rights, safety and well-being of all actual and potential participants, observers and all others involved in the teaching and learning process; and,
- e) Committed to voluntary participation in teaching and learning activities which is free from any coercion, undue influence, or manipulation.

2.3 Policy Objectives

- a) Ensure quality training and facilitate maximum student's potential while supporting student's creativity and innovation in learning process;
- b) Provide vibrant insight for development of current and future teaching and learning practice, which enables lecturers and students to remain motivated and focused;
- c) Provide common criterion in a manner which excellent teaching and learning practice can be celebrated;

- d) Mould ethical professionalism in learning;
- e) Provide guidelines and principles which underpin the conduct of the University's teaching and learning activities to assure these activities are conducted to the highest ethical standards;
- f) Set out ethics principles and responsibilities that act as a signpost to other existing and relevant policies, guidelines and procedures; and,
- g) Ensure that independence in learning is supported and maintained through proportionate levels of scrutiny with high level of integrity.

2.4 Responsibilities

a) Responsibilities of the University

The University is responsible for providing a framework and governance structure towards enhancing an integrated ethical culture in its endeavours. The University shall fulfil its responsibilities;

- (i) Developing and maintaining academic ethical codes;
- (ii) Establishing a governance structure for the headship and management of academic ethics to assure the highest standards of ethics are maintained; and,
- (iii) Creating and maintaining an atmosphere where it is safe to report violations of academic ethics.

b) Responsibilities of Support Staff

The University **Support staff** should promote and uphold the culture of the University, including that of academic ethics. The staff should do so by;

- (i) Being involved in creation of standards, policies, procedures and tools to govern academic ethical conducts and enforce academic ethics and integrity;
- (ii) Supporting the University in the investigation of violations of academic ethics;
- (iii) Explaining the importance of academic honesty and ethics and consequences of violating the same with students;
- (iv) Supporting to address violations of the academic ethics policy by a student or staff; and,

- (v) Communicating with faculty and students actions taken to address violations of academic ethics.

c) Responsibilities of Academic Staff

Academic Staff members should be responsible to replicate academic integrity and ethics for their students, instruct students about these qualities and behaviours and encourage conformity with the standards described in this policy. They shall do so by ;

- (i) Describing and distributing course outlines and requirements of the course they are teaching at the beginning of each semester;
- (ii) Discussing the importance of academic honesty and ethics and consequences of violating the same with students;
- (iii) Describing their requirements and expectations regarding individual or group work and other specific guidelines they want students to follow while attempting assigned course work and the use of supplemental aids for examinations and assignments;
- (iv) Informing students in advance of any controversial or sensitive materials or topics which have the potential to cause offence or distress ;
- (v) Being available to support students about issues of academic ethical dilemma while undertaking coursework elements;
- (vi) Declaring any personal conflicts of interest or partiality; and,
- (vii) Supporting to address violations of the academic ethics policy by a student.

d) Responsibilities of Students

Students have responsibilities of understanding the standards of ethics and behaviour in the academic community and stick to those standards in all of their academic endeavours. Students shall do so by;

- (i) Interpreting and becoming familiar with the Academic Ethics Policy;
- (ii) Avoiding actions that violate the Academic Ethics Policy;
- (iii) Undertaking a commitment to act with honesty and integrity in completing any academic work;
- (iv) Understanding and applying the appropriate methods of acknowledgment and citation in all in print, verbal and electronic submissions;

- (v) Understanding and seeking clarification of the described requirements and expectations of their lecturers regarding individual or group work and other specific guidelines that need to be followed while attempting assigned course work and the use of supplemental aids for examinations and assignments; and,
- (vi) Promoting University wide ethical culture by reporting acts of academic violation(s) to the appropriate channel.

2.5 Provision

- a) The entire SAUT management and administration will create an enabling teaching and learning environment where gradually;
 - (i) The potential of academic staff and students entry qualifications is maximized and developed;
 - (ii) Effective teaching and learning is supported and encouraged, while suitable provision is made for the support of campus diverse student composition;
 - (iii) Suitable provision is made for the professional learning of academics for their teaching role;
 - (iv) Academic staff and students have access to supportive learning technologies, technology infrastructure, and appropriate professional learning opportunities and support to use the infrastructure as well as these technologies effectively in teaching and learning;
 - (v) Academic staff and students have access to multi-functional learning spaces to accommodate variety of teaching and learning configurations;
 - (vi) Those academic programmes are continuously reviewed and renewed to ensure an alignment with the changing context and the SAUT graduate attributes, thereby enhancing graduates' contributions to the Tanzania and global societies and their career opportunities;
 - (vii) The necessary capacity (e.g. human and financial resources) is made available to support the programme renewal process at both departmental, faculty and school level;

- (viii) The directorate of quality assurance establish time frame required for programme, curriculum and extra curriculum renewal and notify the head of departments and deans for action; and,
 - (ix) The university management enables physical and virtual learning environments that support and encourage quality teaching effective and motivated students learning at both the non-degree, undergraduate and postgraduate levels.
- b) The academic staff adhere to academic honest and professionalism to the extent and manner that ;**
- (i) Adequate, suitable opportunities for promoting the appropriate professional teaching and students learning in academics;
 - (ii) Set high expectations of learners that clearly define the effort and behaviours that students should put into learning in lessons;
 - (iii) Communicate optimism by using positive language and designing challenging tasks which demonstrate commitment to every learner’s success, making him or her feel Included, secure and valued;
 - (iv) Create an environment where learners feel able to make mistakes and comfortable to learn from them, without feeling inadequate; or foolish create opportunities for learners to develop personal qualities such as considerate behaviour as well as positive and tolerant attitudes that will enable them to contribute effectively to the community;
 - (v) A variety of perspectives and information sources (such as the quality assurance system; moderation; student feedback; programme committees; performance management) and evidence shall be used during the evaluation of teaching, drawing on criteria for quality teaching;
 - (vi) Student feedback serves as the primary source of information about students’ experiences of teaching and learning, but should always be used in conjunction with other sources;
 - (vii) The use of a teaching portfolio is highly recommended during the evaluation of teaching with regard to permanent appointments and promotion in particular.
 - (viii) The institutional processes at SAUT are overtly geared towards attracting high quality academics, as well as the ongoing development of their teaching role;

- (ix) Academicians and students relationship do not conflict with the good values of teaching and learning and the laws of the land including rules, regulation and policies of the University;
- (x) Academicians make a concerted effort to acknowledge the diversity of learning needs and offer suitable leadership to students for utilizing obtainable academic development opportunities;
- (xi) Across the university, there is a shared conscientiousness to pay attention to holistic student success and the development of the whole student across all levels;
- (xii) Establishment of Integrated systems for the ongoing monitoring and evaluation of all students, particularly those most vulnerable, e.g., students from previously disadvantaged circumstances, students without financial support, students whose living environments are not conducive to university study, disables etc;
- (xiii) Departmental, faculty, school, central and higher management of the university enable necessary resources available to achieve quality teaching and effective learning at the university in a sustainable manner.
- (xiv) During the planning of modules and programmes, at both the undergraduate and postgraduate levels, academics must pay attention to students' diverse academic needs;
- (xv) The teaching academic staff engage both experienced practitioners and non-practitioners so as to smooth the progress of vibrant practical training and student's motivated learning process;
- (xvi) The academic staff subjectively understand that the mode of teaching and students mode of learning varies from non-degree programmes, undergraduate to postgraduate programme; and,
- (xvii) The teaching academic staff set the standard of confidentiality in teaching and learning values such that examination and such confidential information are not publicized.

3. RESEARCH, INNOVATION AND PUBLICATION ETHICS

3.1 Framework of Research and Innovation

As stipulated in the National Research and Development Policy of Tanzania (2010) research today is characterized by science, technology, change and innovation (Research Policy, 3.1). It should be understood that research and innovation are essential for economic development competitiveness and trade.

3.2 Policy Statement and Strategic Principles

SAUT shall continuously ensure that research and innovation ethics and integrity are adhered to, subject to the requirements of the research policy, foster a culture of zero tolerance to plagiarism and any unethical conducts in research, innovation and publications.

The following are guiding statement as per Research Policy (RP) statements 10 and 11;

a) Policy statement 1:

SAUT shall continuously ensure research/innovation ethics and integrity are adhered to:

- (i) Each research proposal is examined by the Research Ethics Committee (REC) before embarking on data collection. Originality to be emphasized;
- (ii) Research and innovation respect human dignity and enhance moral values; and;
- (iii) Research process and outputs aim at minimizing unfavourable impact on the environment (RE Statement 10).

b) Policy Statement 2:

SAUT shall have zero tolerance towards plagiarism to ensure that:

All forms of plagiarism associated with both oral and written academics research/innovation presentations and publications are outlawed (cf. RP Statement 11).

As stated in the introduction note of the SAUT plagiarism policy: “In its vision and developing persons with respect for human dignity, SAUT promote academic honest, innovative research, consultancy and publications. For this purpose, SAUT is an anti-plagiarism advocating university and it endeavours to outlaw all forms of plagiarism associated with both oral and written academic research presentations and publications”

Since the research ethics are based squarely on integrity and honesty, the objectives of the plagiarism policy should be underlined:

- (i) To foster the culture of zero tolerance to plagiarism in all research works and publications conducted by either SAUT staff members or students;
- (ii) To safeguard the university integrity and encourage innovative research and publications;
- (iii) To set rules and guiding regulations to detect and prevent plagiarism;
- (iv) To set for the responsibility of every unit of the university towards anti-plagiarism; and;
- (v) To alert academic staff and students on the evils of plagiarism and penalties.

The strategic principles are as follows;

- (i) There will be an academic ethics committee in place to ensure that research/innovation ethics are adhered to and to take disciplinary measures to academicians and students when plagiarism is proved;
- (ii) Research and innovation shall emanate from any department/school of SAUT; and
- (iii) Innovations will be disclosed in writing to the Deputy Vice Chancellor for Academic Affairs (DVCAA) and eventually to the national organization dealing with research and innovation.

3.3 Policy Objectives

- (i) To promote integrity and honesty in research and innovation;
- (ii) To outlaw all forms of plagiarism;
- (iii) To set up research and innovation principles that ensures the non-violation of human and intellectual property rights;
- (iv) To improve quality and quantity of research/innovation and publications to endure that data is protected;
- (v) To ensure that data is protected; and
- (vi) To foster visible links between government, industry, researchers and innovators.

3.4 Responsibilities

a) Responsibilities of Academicians are;

- (i) To obtain research clearance from relevant bodies before starting data collection;
- (ii) To adhere to ethical conducts of research during and after data collection;

- (iii) To adhere to intellectual property rights and regulations; and,
- (iv) To maintain professional integrity.

b) Responsibilities of Research Supervisor

- (i) To guide and to ensure that students obtain research clearance from relevant bodies before starting data collection;
- (ii) To guide and to ensure that students adhere to intellectual property rights and regulations; and,
- (iii) To maintain ethical and professional integrity.

c) Responsibilities of Students

- (i) To comply with intellectual property rights and regulations and maintain ethical integrity;
- (ii) To make sure that research work is original by submitting it for plagiarism test; and,
- (iii) To promptly report research ethical dilemma to the supervisor.

3.5 Provision

- a) All staff and graduate students of SAUT and its centres intending to conduct a research are required to apply for a research ethical clearance using the form appended to this policy. The fully filled in form should be submitted to the Research and Innovation Ethics Committee at least two months prior to the expected date of data collection.
- b) SAUT constituent colleges may use the same form but will have to submit it to the Academic Ethics Committee in their own colleges. Researchers applying for ethical clearance should submit their application at least two months prior to the intended date of data collection.
- c) The Research and Innovation Ethics Committee will work closely with departments/schools and eventually with the national organization dealing with research and innovation.

4. CONSULTANCY SERVICES ETHICS

4.1 Framework of Consultancy

Provision of consultancy opportunities is one of the basic components of SAUT's chief goals. The others are provision of high quality education and research (SAUT Constitution-Article 4.1).

4.2 Policy Statement and Strategic Principles

Consultancy is one of the basic SAUT chief goals. Thus, its implementation should adhere to the following guidelines and principles:-

- (i) It should not be in conflict with SAUT's interest;
- (ii) It should not be associated with unethical or inappropriate activities;
- (iii) The consultancy should strike the balance between time for main duties and time for consultancy;
- (iv) Consultancy provisions should not bias integrity and honesty in teaching and learning; and,
- (v) Whenever university facilities and personnel are used reimbursement should be done.

4.3 Policy Objectives

- (i) Ensure that SAUT staff attain a desired mix of output consultancy, research, innovation and teaching so as to achieve the level of scientific professionalism demanded by the university mission;
- (ii) Ensure quality consultancy service reflecting the good name of the university; and,
- (iii) Ensure equitable access to consultancy assignments.

4.4 Responsibilities

Responsibilities of the Consultant

To ensure consultancy work undertaken is permitted by the University and other relevant bodies:-

- (i) Not to accept a consultancy work which is not relevant to one's expertise and skills;
- (ii) Not to accept a consultancy work which can impair individual's independent performance, opinions or recommendations; and,

(iii) To honour the consultancy agreement.

4.5 Provision

- (a) All consultancy services will be undertaken after permission of the DVCAA;
- (b) The distribution ratio of the consultancy fee will be 75:25 for individual/private consultancy.

5. COMMUNITY SERVICES ETHICS

5.1 Framework of Community Service

The term “community” in this policy refers to as, either groups of people united by a common location, or to groups of people who are linked either intellectually, professionally or politically. In other words, they could be geographic communities, communities of interest and/or communities of practice. The intention of this broad definition is to enable collaboration between SAUT and various communities, as well as to provide the means whereby both parties can actively ascertain knowledge, teach, and learn from one another.

5.2 Policy Statement and Strategic Principles

SAUT recognizes community service as a vital area of accountability. It is committed in encouraging diverse community service activities throughout the institution and ensuring that suitable recognition of these is made. For instance, community service undertaken by individual members of staff will usually be considered through the performance management scheme agreed by the university.

In addition to that, each center of SAUT, in Tanzania, should contribute “to the prosperity and development of the country and region in which it is located”; “in a way that is consistent with the goals and objectives of SAUT and that meets the reasonable expectations of the communities targeted”. Fundraising for community engagement will be done in compliance with the rules regulating the specific aspect of community engagement.

The guiding principles are:

- (i) Whenever possible, community service should be undertaken proactively;
- (ii) Community service needs will be assessed and met within the broad scope of SAUT’s core functions, resources and adhere to the principles, regulations and

requirements of the specific departments, as well as faculties as stipulated in the university policy;

- (iii) Community service activities that draw upon an individual's professional expertise will greatly be appropriately accredited, supported and encouraged by SAUT; and,
- (iv) The quality of SAUT's community service activities will be assured and will be coherent and consistent according to the laws, rules, regulations, and by laws of the entire university.

5.3 Policy Objectives

- (i) To lead engagements with communities during teaching and learning, research/innovation, consultancy and outreach activities;
- (ii) To enhance educational, academic and cultural values in the general community and fostering awareness of the University as an academic, educational and general resource;
- (iii) To promote debate on cultural, economic, environmental, scientific and social issues;
- (iv) To respond to reasonable community needs and expectations consistent with the University's goals and objectives;
- (v) To provide opportunities and procedures for input from business, industry, professional groups and from the general community into the ongoing development of the teaching, research and other aspects of the University's mission; and,
- (vi) To seek cooperation and joint endeavours with schools and other providers of education and training, business and industry, arts, sports and cultural organizations and other suitable organizations in the broader community.

5.4 Responsibilities

The Responsibilities of the Service Provider shall be:

- (i) To ensure that there is transparency and accountability to the University;
- (ii) To ensure that gender balance and equity is observed during provision of community services; and,
- (iii) To adhere to integrity and professionalism in the provision of community services.

5.5 Provision

SAUT will always be of service to communities in Tanzania or elsewhere in the world through the approved techniques set hereunder:

- (a) Providing a diversified cultural environment for staff and students which is deliberately spread into the local communities around the campus;
- (b) Accepting the role as an intellectual leader within a national and international context and motivating and contributing to dialogues on cultural, economic, environmental, scientific and social issues;
- (c) Launching and supporting avenues for community service by staff and students of SAUT.

6. ACADEMIC VIOLATIONS

Academic violation is forbidden at SAUT. Academic violation is any act of using unjust means to create either unmerited academic advantage for oneself or unmerited academic advantage or disadvantage for another member or members of the academic community. The following main behaviours with nonexclusive examples are considered at SAUT as academic violations;

a) Cheating

- (i) Dual submission of an assignments, tests or examinations to fulfil the requirements of one course or dissimilar courses with the same requirements;
- (ii) Accessing a test, examination or answers to a test or examination prior to the conduct of the test or examination either in soft or hard copy;
- (iii) Unauthorized discussing of tests or examinations while being conducted;
- (iv) Use of unauthorized or improper materials on tests or examinations;
- (v) Collaborating with another person on individual assignments, tests or examinations;
- (vi) Copying materials, ideas, concept from work of others into an individual(s) assignments, test or examination;
- (vii) Arranging with another person/student to sit for a test or examination or to sit for a test or examination on behalf of another student; and,

- (viii) Resubmission of an assignment, test or examination for re-grading after modifying the original content submitted before.

b) Plagiarism

- (i) Copying materials, ideas, concept from work of others into your assignments, essay, term paper or dissertations without appropriate acknowledgement of the source;
- (ii) Publishing or presenting to the university written ,visual, and audio or video as an independent work while knowing it has been produced in whole or in part in joint effort with other people;
- (iii) Citing a source which has not been read or reviewed without acknowledging the secondary source from which knowledge has been obtained;
- (iv) Republishing own previously published written work, either in its entirety or partially and present it as new findings without acknowledging the primary source;
- (v) Improper acknowledgement or documentation of words, ideas, views, or paraphrased passages taken from published or unpublished sources;
- (vi) Submitting exactly the same or substantially similar work of another person without proper attribution and citation;
- (vii) Retaining the original structure and progression of the same ideas of the original work with minimal alteration of the textual phrases from either a book, articles or other written materials without crediting the source; and,
- (viii) Use of the results of another individual's work (e.g., another individual's paper, examination, homework, computer code, lab report, etc.) while representing it as your own.

c) Fabrication/falsification/lying

- (i) Either citing a source that does not exist or including false information in an assignment and other works;
- (ii) Citing an idea to a source which is not included in the source;
- (iii) Falsifying a reason either for a missing assignment, test or examination or for requesting a delayed assignment, test or examination;
- (iv) Falsifying to have completed and submitted either an assignment, test or examination;

- (v) Submitting either forged official documents and or information to the University with an intention of deception;
- (vi) Intentionally destroying evidence(s) which could be used in an academic proceeding;
- (vii) Giving bribes to a University official with an intention of either hiding an act of academic violation or to obtain favour in an academic proceeding;
- (viii) Presenting false information while defending oneself in an academic proceeding;
and,
- (ix) Defending another student academic violation with false information.

d) Impeding Fair and Equal Access to Others

- (i) Hiding, damaging or hinder access to library materials or other academic resources to others;
- (ii) Preventing others or intentionally damaging computer system or e-learning systems to limit access to others; and,
- (iii) Stealing another student's academic materials (e.g., books, notes, assignments, etc.).

e) Facilitation

Facilitation occurs when a person either knowingly or intentionally assist another in committing a violation of any of the previous sections of this academic ethics policy.

f) Failing to Report Alleged Violation

This form of misconduct occurs when a person fails intentionally to report either any known or suspected violation of this ethics policy.

7. ACADEMIC ETHICS SANCTIONS

Breach of this Policy in terms of either the general ethics standards or specific process will be considered as having the potential to bring the University and its employees into disrepute. Specific processes will brought to bear in this context including the disciplinary procedure as described in the SAUT Academic Regulations, 2018.

8. ACADEMIC ETHICS COMMITTEE

There shall be an Academic Ethics Committee that is responsible on behalf of Senate for the designing, implementing and monitoring of academic ethics policies, procedures and guidelines of the University. There shall be a Research and Innovation Ethics Committee (RIEC) which is a subcommittee of the Academic Ethics Committee.

8.1 Functions of the Committee

Academic Ethics committee shall be an authority level organ, responsible for the designing, implementing and monitoring of academic ethics policies, procedures and guidelines of the University. Its day to day activities shall include:

- (i) Promotion of the awareness of the University Ethics policies, procedures, codes of practice and guidelines including ensuring appropriate and adequate training and development;
- (ii) Ensuring effective operation of teaching and learning, research, consultancy and community services, in accordance with agreed institutional policies, procedures, codes of practice and guidelines;
- (iii) Ensuring effective handling of all applications for research, innovation and consultancies are in accordance with the set ethical guidelines;
- (iv) To take appropriate disciplinary measures to academicians and students who have been proven to be involved in unethical academic activities such as cheating, plagiarism, falsifying, lying, impeding fair access to others, facilitation and failing to report alleged academic violations;
- (v) Considering and report to Senate on such matters that may be referred to the Committee in relation to ethical matters;
- (vi) Ensuring that Council, through Senate, is apprised of any relevant matters in support of the Council's overall responsibility for ethics governance;
- (vii) Reviewing periodically its roles and functions and recommend the changes to the Senate; and,
- (viii) Ensuring that the academic ethical policy is reviewed at least after every five years.

8.2 Membership and organization

a) The membership shall be composed of:

- Deputy Vice Chancellor for Academic Affairs (DVCAA)
- Two Selected Deans of Faculties
- Director, Research and Postgraduate Studies
- Chair of the Research and Innovation Ethics Committee
- Corporate Counsel.

b) Organization

- The Committee shall be headed by the Deputy Vice Chancellor for Academic Affairs
- Corporate Council shall serve as a recorder/secretary
- The representatives of the Deans shall be appointed by the Deputy Vice Chancellor
- The Committee shall meet at least twice every quarter.

8.3 Research and Innovation Ethics Committee

There shall be also a research and innovation ethics committee, which is a subcommittee of the ethics committee; whose responsibility is to receive and review applications for research clearance from both graduate students and staff members. The sub Committee shall work closely either with departments or schools; and eventually with the national organization dealing with research and innovation. The committee shall be composed of seven members from different faculties appointed by the DVCAA, for tenure of three years renewable for another term. The committee shall preferably be chaired by a senior member of academic staff.

9. MONITORING AND REVIEW

This policy will be reviewed after every five years by the Office of Deputy Vice Chancellor for Academic Affairs in light of changes in legislation, Institute regulations and strategic objectives.

APPENDICES

Appendix 1: Research Clearance Application Form

Those applying for research clearance will download the attached application form from University website, and complete for submission together with a copy of research proposal.

Note: Graduate students will apply for research clearance after they have defended their research proposal and passed.

ST. AUGUSTINE UNIVERSITY OF TANZANIA

P.O. Box 307 Mwanza



Research Ethics Clearance Form

OFFICE USE ONLY: <input type="checkbox"/> Incomplete <input type="checkbox"/> Conditional Clearance <input type="checkbox"/> Cleared <input type="checkbox"/> Withhold Clearance <input type="checkbox"/> Rejected	Reference Number: REB#: <hr/>
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1. RESEARCH/PROJECT OVERVIEW

Title of Research:

[Empty text box for Title of Research]

Level of Research: Faculty Doctoral Master's Others (Describe):

Principal Investigator: All applications require a single primary investigator with whom the RIEC will communicate.

Title:	Name:	Nationality:
Faculty/Department/Unit:	Institution/Agency/Organization:	Academic Rank:

Mailing address:		Alternative Mailing address:	
Phone 1:		Phone 2:	Email Address:

Alternative Contact (e.g., Research Coordinator):

Title:	Name:	Academic Rank:
Phone 1:	Phone 1:	Email Address:

***Co-Investigators:**

Are co-investigators involved? A No B Yes *If YES, please fill out additional information in the table below:

Enter all co- Investigators here, both Local and Foreign	Local	Foreign
	Name of Investigator – Qualification and Institution	Name - Nationality - Qualification - Institution
	1.	
	2.	
	3.	
e.t.c.		

Project commencement and completion dates (Year/Month/Day):

Estimated commencement date for data collection: DD/MM/YY

Estimated completion date for this project: DD/MM/YY

Does your application include any of the following?

Place a tick ✓ where applicable to your research.

- 1. Vulnerable population or limited capacity in exercising autonomy (children or cognitively impaired individuals)

- 2. Individual from the hunter-gatherers such as, Akie and Hadzabe or the pastoralist such as Barabaig, Taturu and Maasai in Tanzania?

- 3. Use of biological elements for medical trials

- 4. Inquiry on sensitive issues such as; sexual orientation, religious affiliation, Marital status pregnant women, children, institutionalized mentally disabled, prisoners, or others, especially those whose ability to give voluntary informed consent may be in question.

5. RESEARCHERS INFORMATION

A. FACULTY SUPERVISOR

All students must have a single primary faculty supervisor, to whom all correspondence will be copied.

Title:	Name:	
Department/Unit/Agency:		
Mailing address:		
Phone:		Email:

B. CO-INVESTIGATORS (if applicable)

Title:	Name:	
Department/Unit/Agency:		
Mailing address:		
Phone:		Email:

Title:	Name:
Department/Unit/Agency:	
Mailing address:	
Phone:	Email:

Title:	Name:
Department/Unit/Agency:	
Mailing address:	
Phone:	Email:

***Please append additional sections if necessary.**

6. LOCATIONS WHERE THE RESEARCH WILL BE CONDUCTED

Please indicate all places where the intended research will be conducted.

No	Region	District	Name of Institution	Please State if other
1				
2				
3				
4				

7. FUNDING OF THE PROJECT

This section refers to, as any funding received to conduct research. Scholarships typically support students rather than projects and should not be indicated here (unless the scholarship comes with a specific research funding component).

(a) Please select from the following by placing a tick ✓ in the dark highlighted box(es):

<input type="checkbox"/> Funded	Agency:
	Title of project associated with funding:

	Finance Grant Acct #:
	Funding Dates:
<input type="checkbox"/> Applied for funding *Please note that you must contact the AEC once funding has been received.	Agency:
	Title of project associated with funding:
	Submission date:
<input type="checkbox"/> Unfunded	

8. PRIOR SCHOLARLY REVIEW

(Please check one of the following)

The research has been formally reviewed by a thesis/dissertation committee.

Yes No

If yes, please list the members of the committee:

1. 2. 3.

9. PROPOSED RESEARCH OVERVIEW

Briefly describe the purpose and background of the proposed research/project, and the hypotheses or research questions to be examined in this study. The background should be concise but include all information that an educated layperson needs to understand, the purpose of the proposed research/project, and the need for the research/project. Please place the study within a relevant scholarly literature and context.

10. METHODS OF DATA COLLECTION

Please indicate all the research methods that apply to your intended research:

- | | |
|---|---------------------------------------|
| <input type="checkbox"/> Observation | <input type="checkbox"/> Survey |
| <input type="checkbox"/> Documentary/Filmmaking | <input type="checkbox"/> Focus Group |
| <input type="checkbox"/> Experimental lab study | <input type="checkbox"/> Interview |
| <input type="checkbox"/> Oral/Life history | <input type="checkbox"/> others _____ |
| <input type="checkbox"/> Online/Internet Research | |

If using Online/Internet Research as a method, please answer the following questions:

What method will be used?

(Check all that apply) Survey

Interviews

Observations

Secondary data collection

How will the data be collected: ? Email Correspondence

Social Networking Site Observation

Other:

Does this study make use of an internet survey service?

Yes No

If “Yes”, please provide the following information:

What is the name of the internet survey service?

What is the URL for the survey (s)?

Procedural Overview

Provide a **step-by-step** description of all procedures that will occur between the points of first contact with participants until the completion of the study. Please include the number of points of contact and the total time required to complete the procedures.

Do any of the methods involve:

Audio Recording? No Yes

Still Recording? No Yes

Video Recording? No Yes

Digital recording (in any form)? No Yes

If “Yes” to any of the above, please describe their use in the project and address issues related to confidentiality and data security for recorded information in Section 24 of this application. Please note the specific recording devices to be used. (e. g. digital recorder, cell phone, etc.)

Please describe each of the distinct methods which will be used in the research.

Method #1:

Method #2 (if applicable):

Add additional methods as relevant

12. PARTICIPANTS/INFORMANTS

Describe the participants who will be recruited for the study and about whom personal information will be collected (i.e., numbers, age, special characteristics, etc.). Describe the size of the group from which participants will be recruited, the total number needed for the research, and the minimum needed for the research to succeed. Please describe inclusion and exclusion criteria. Where the research involves extraction or collection of personal information, please describe what type of information will be obtained and from whom and if permissions are necessary.

13. RECRUITMENT

Please describe how and from where the participants will be recruited. Describe all steps from the point of first contact with the participant until the beginning of the consent process. Where participant observation is to be used, please explain the form of “insertion of the researcher into the setting” that will be used (e.g. living in a community, visiting on a bi-weekly basis, attending organized functions)

14. EXPERIENCE

Please provide a brief description of the researcher’s/research team’s experience **with each method/type of applicable research**. Include all members of the team, including faculty supervisors. How will requisite research skills be obtained for research team members new to this type of research? (Note: This section asks for a description of the experience specific to the research methods described in this protocol, and does not require either additional details regarding professional qualifications outside of these methods, or evidence of publication, or citations)

15. COMPENSATION/INCENTIVE

(a) Will participants receive compensation for participation? No Yes

(Please check all that apply)

(b) If compensation is provided, please provide the source of funding for the compensation/incentive:

(c) If there is a cost to participants such as transportation, please justify why these are not compensated:

(d) If compensation is provided, please provide details and justification for the amount/value of the compensation offered:

(e) If using an Online/internet method describe how participant data and compensation data will be managed:

(f) Where there is a withdrawal clause in the research procedure and a participant chooses to withdraw, how will compensation be handled?

SECTION D - DESCRIPTION OF THE RISKS RELATED TO THE PROPOSED RESEARCH

▪ **POSSIBLE RISKS**

Please describe any potential risks which either individual participants or groups might experience by being part of this research.

▪ **STRATEGIES TO OVERCOME SUCH RISKS**

Clearly explain the kind of strategies you might use to handle the kind of risks which you might experience as described above.

SECTION E – THE INFORMED CONSENT PROCESS

20. DESCRIPTION OF THE CONSENT PROCESS

Participants Capacity to Provide Informed Consent:

Indicate and check the box(es) which best apply to your participants:

Competent	Non-Competent
<input type="checkbox"/> Competent Adult <input type="checkbox"/> Vulnerable Population	<input type="checkbox"/> Non-Competent Adult <input type="checkbox"/> Consent from authorized party will be obtained <input type="checkbox"/> Assent from the participant will be obtained
<input type="checkbox"/> Competent Youth <input type="checkbox"/> Consent of both youth and parent/guardian required <input type="checkbox"/> Consent of youth required and parents informed <input type="checkbox"/> Consent of youth required and parent/guardian not informed	<input type="checkbox"/> Non-Competent Youth <input type="checkbox"/> Consent from parent/guardian <input type="checkbox"/> Assent from the youth will be obtained
<input type="checkbox"/> Competent Children <input type="checkbox"/> Consent of parent and child <input type="checkbox"/> Other:	<input type="checkbox"/> Non-Competent Children <input type="checkbox"/> Consent from parent/guardian <input type="checkbox"/> Assent from the child will be obtained

(a) Indicate if there is a relationship between participants and either of the following;

Person obtaining consent: No Yes

Investigator(s): No Yes

If “YES”, what steps will be taken to avoid the perception of undue influence?;

(b) Describe the process that the investigator(s) will be using to obtain informed consent from the point of first contact with the potential participant. Obtaining consent involves more than providing a form to read. If a written consent will not be used, or if signed consent will not be obtained, please explain (e.g. discipline, cultural appropriateness, enhanced risk etc.), and describe how consent will be *documented*. If using an **Online/internet survey method** please explain how informed consent will be obtained (e. g, Electronic information sheet with ‘check box’ for consent, email with name, consent implied through submitting survey, etc.);

*Where applicable, please attach a copy of the Information Letter/Consent Form, Audio/Video Recording Consent Form, the content of any telephone script, letters of administrative consent or authorization and/or any other material that will be used in the informed consent process.

(c) If the Title of the Project that is to be communicated to participants (e.g. on Consent Form/ Letter of Information) is different from the Title of the Project indicated in this application, please provide the alternate project title here.);

(d) Please provide the rationale for difference in Title.);

(e) **Ongoing Consent** is required if the research occurs over multiple occasions or over an extended period of time.

Does the research occur over multiple occasions and/or over an extended period of time?

No Yes

If “Yes”, please describe the process of how you intend to obtain ongoing consent (e.g. verbal assent, additional form, etc.)

21. CONSENT BY AN AUTHORIZED 3rd PARTY

(a) If the participants are children, or are not competent to consent, describe the proposed alternative source of consent.

*Please attach a copy of any permission/information letters to be provided to the person(s) providing the alternative consent as well as the assent process for the actual participants.

(b) If the research is taking place within either a recognized community, or an organization that requires that formal consent to be sought prior to the involvement of individual participants, explain how the researcher will document how consent has been obtained. Describe this consent process and attach any relevant documentation. If consent will not be sought, please provide a justification and describe any alternative forms of consultation that may take place.

**Please attach any relevant documentation.*

If the research is taking place within either a recognized community, or an organization.

23. PARTICIPANT WITHDRAWAL

- (a) Please describe how the participants will be informed about their withdrawal rights. Outline the procedures which participants will follow to either withdraw from the study or withdraw their data.

- (b) Indicate what will be done with the participant's data, and any consequences which withdrawal may have on the participant.

- (c) Please describe if participants will not have a right to either withdraw from the study or cannot withdraw beyond a certain point.

- (d) Please describe when or at what point, participants will no longer be able to request to withdraw their data. This should be defined by a specific date, or by the occurrence of a particular event (e.g., upon submission of survey data, after completion of the interview, date at which participants' data are anonymized, etc.)

SECTION F – SAFEGUARDS FOR PROTECTING PARTICIPANTS AND DATA
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24. CONFIDENTIALITY/ANONYMITY

- (a) Will the data be treated as confidential? No Yes

- (b) Will the participant be anonymous to the researcher or anyone associated with the research?
 No Yes

- (c) Describe procedures to be used to ensure anonymity/confidentiality of participants or informants (where applicable) -or- the confidentiality of data during the conduct of research and dissemination of results.

(d) Explain how identifiers or identifiable information including written records, video/audio recordings, contact information and linking codes, among others will be secured, how long they will be retained, and how they will be destroyed. Describe how identifiable data will be either de-identified or anonymized.

(e) If participant anonymity or confidentiality is not appropriate to this research project, please explain.

(f) Describe any limitations to protecting the confidentiality of participants whether due to the law, the methods used, the nature of the sample population, or other reasons (e.g., duty to report, contract obligations, etc.)

(g) If the data cannot be de-identified or anonymized, please describe the confidentiality plan.

25. DATA MANAGEMENT PLAN

(a) Describe how the data will be stored during data collection and analysis.

(b) Identify all parties who will have access to the data and the server (if using Online/internet research) , during the course of the study.

(c) Describe who has custodianship of the data and documentation once the study is complete, and who will take responsibility for the subsequent use of the data or archiving.

(d) Describe the length of time the data will be kept on the server, and the process of downloading, storage and disposal of identifying information or sensitive data.

26. DECLARATION AND SIGNATURE

All researchers must sign below in order for this application to be processed and reviewed.

As the **Chief Investigator** on this research, my signature confirms that I will ensure that all procedures performed during this research project will be conducted in accordance with all

relevant University, national and international policies and regulations that govern research involving human participants. Any deviation from the approaches/methods as stipulated in original copy submitted for clearance, will be brought to Research and Innovation Ethics Committee for clearance prior to its implementation.

For **student researchers**, my signature confirms that I am a registered student in good standing with St. Augustine University of Tanzania. My research proposal has been examined by a committee of three faculty members, and was approved by both the committee and my supervisor.

I agree to comply with St. Augustine University of Tanzania research policy, academic ethics, and procedures, governing research in regard to protection of human participants, and respect of academic property.

Signature:	Date:
May add others if applicable	

SECTION H – FACULTY SPONSORS

For Graduate Students, the signature of the Faculty Supervisor is required.

I certify that the application has been completed in full, and that the information provided in this application is complete and correct.

I understand that as **a supervisor**, I have responsibility, as the St. Augustine University of Tanzania representative, for the conduct of the study, the ethical performance and the protection of the rights and welfare of human participants.

I agree to comply with the University Research Policy and all SAUT policies, bylaws and procedures, governing the protection of human participants in research, including, but not limited to, ensuring that: ;

- The research is performed by qualified and appropriately trained personnel in accordance with SAUT Academic Ethics Policy;
- No major changes in the research may be implemented after receiving research clearance without notification to the RIEC of the proposed changes and receipt of the subsequent clearance;
- Significant adverse effects are promptly reported; and
- A progress report is submitted to RIEC annually or in accordance with the terms of certification or the nature of research.

Signature of Faculty Supervisor / Sponsor (circle one):

Date:

Approved by SAUT Council on this 17th day of December 2020



Rt. Rev. Flavian Kassala
Chairman of the SAUT Council