

BIUST Document Control Cover Sheet

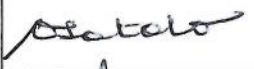
1. Document Information

Document Title : CODE OF CONDUCT FOR RESEARCH AND INNOVATION
Doc No: ORD1 04.01.17

2. Document History

Version	Date Released	Released to	Purpose
V 1.1	24-08-2017	Ad-Hoc Committee On Scientific Research	Internal Review
V. 1.2	25-08-2017	Quality Assurance Office	Compliance
V 1.3	28-08-2017	DVC: Research, Development & Innovation	Review & Recommendation
V 1.4	06-09-2017	EMT	Review & Recommendation
V 1.5	18-01-2018	Faculty Boards	Review & Recommendation
V 1.6	02-02-2018	SENATE	Review & Recommendation
V 1.7		COUNCIL	Approval

3.0 Document Sign Off:

Name	Position/ Role	Signature	Date
Dennis Signer	DVC: Research, Development and Innovation		21/6/2018
Atugetsew Tefo	SENATE Chair/Vice Chancellor		26/10/2018
Bernard Mule	Chairperson of COUNCIL		30/10/2018

Policy Title:	CODE OF CONDUCT FOR RESEARCH AND INNOVATION POLICY
Policy Number & URL:	ORDI 04.01.17
Policy Category:	Research Policy
Responsible Division/Faculty/Directorate:	Office of Research, Development and Innovation
Policy Owner:	Deputy Vice Chancellor Research, Development and Innovation
Policy Manager:	Director Research & Development
Policy Approved by:	
Policy Approval Date:	
Policy Effective Date:	
Policy Review Date:	
► Related Policies, Guidelines & Regulations: ► Human Ethics Policy ► Use of Animals in Research and Teaching ► Publications Policy ► Regulations for Performing Research	

1. Background

Botswana International University of Science and Technology (BIUST) defines itself through its vision to be a premier research-based university and promotes research and innovation. BIUST is committed to maintaining the highest standards of integrity in pursuing research and innovation. To ensure that the standards are upheld, the University has developed this Code of Conduct for Research and Innovation Policy. This Policy provides guiding principles and a standard so that the conduct and management of research and innovation can effectively be carried out and applied to all the subject areas. Conducting research involves risks that must be mitigated and responsibilities that must be taken in by the researchers in a standard way.

2. Purpose

This policy:

- 2.1 defines the University's commitment to responsible research and innovation practice;
- 2.2 describes how good research and innovation practice should be conducted;
- 2.3 promotes integrity in research and innovation;
- 2.4 defines the University's expectations of researchers; and
- 2.5 explains the process for dealing with allegations of research and innovation, and misconduct and breaches of this policy.

In undertaking research and innovation the University will ensure that the following are observed:

- 2.6 that research and innovation is undertaken in responsible way;
- 2.7 that good governance and management practices are established;
- 2.8 that appropriate training in research and innovation are provided;
- 2.9 that effective supervision and mentoring of researchers and research students and other research staff is achieved; and
- 2.10 that the environment under which research and innovation is being conducted is safe and conducive.

3. Scope

The Code of Conduct on Research and Innovation Policy applies to all activities of research and innovation at the University and carried out by staff and students of the University.

4. Policy Goal

The goal of the Policy is to establish a common understanding of the right practices and conduct in the field of Research and Innovation in the University.

5. Policy Objectives

The objectives of the policy are to:

- 5.1 Promote the use of the Code of Conduct to allow students, academic and research staff to perform high quality research and innovation in the University;
- 5.2 Provide the principles of performing research in the University;
- 5.3 Establish responsibilities and accountabilities for research and innovation management within the University's governance and management structures
- 5.4 Provide a framework for the monitoring and evaluation of Research and Innovation practices within the University.
- 5.5 Assure the quality, integrity and standing of BIUST research and innovation.

6. Policy Principles

6.1 Responsibilities of Researchers

To maintain and uphold high standards for their research which include:

- 6.1.1 Respect for the rights of those affected by the research and innovation.
- 6.1.2 Respect for those participating in the research and innovation.
- 6.1.3 Ensuring that the research and innovation is conducted and carried out in a safe and ethical environment.
- 6.1.4 Ensuring good management and retention of research data, and that proper records of such information and data are securely kept.
- 6.1.5 Ensuring that research data and primary materials are securely kept to protect and safe-guard against the loss of such data or other materials used in the research.

6.2 Research and Innovation Quality

Researchers should strive to achieve the highest level of scientific quality in their research undertaking. It is equally important that researchers carry out their research within the agreed code of research and innovation conduct.

Researchers have a right, a duty, to refrain from undertaking any research and innovation that contravenes this Policy on the Code of Conduct for Research and innovation. If any such contravention is known to take place then it should be reported to the appropriate ethics review committee or any such entity for redress and correction.

6.3 Legal and Ethical Requirements

Researchers must ensure that all legal and ethical requirements and other guidelines that apply to their research are complied with and observed. The research proposals may also be subjected to ethics review to ensure that no harmful effects are brought about by research and innovation activities.

The following general ethical requirements also apply:

- 6.3.1 Competence, ability and commitment to research and innovation: Researchers should be professionally qualified for the research. Commitment to research and innovation and to the relevant subject is an essential prerequisite for good and ethical research and innovation.
- 6.3.2 Respect for and protection of the rights and interests of participants and institutions: Researchers should respect and protect the dignity, privacy and confidentiality of participants and institutions, and should never expose them to procedures or risks not directly attached to the research and innovation project or its methodology. Research and the pursuit of knowledge should not be regarded as the supreme goal at the expense of the rights of participants and institutions.
- 6.3.3 Informed and non-coerced consent: individuals' participation should be freely given, specific and based on informed consent. Direct or indirect coercion and undue inducement of people in the name of

research should be avoided. These act as barriers to autonomous decision making and may result in people consenting against their better judgment to take part in studies involving risks.

- 6.3.4 Respect for cultural differences: Researchers should treat research and innovation participants as unique human beings within the context of their community systems, and should respect what is sacred and secret by tradition. Research and innovation should preferably be undertaken with, and not merely on, an identified community. In some situations the consent of “gatekeepers” may have to be obtained in addition to that of research and innovation participants.
- 6.3.5 Justice, fairness and objectivity: Criteria for the selection of participants of research should be fair, besides being scientific. Easily accessible individuals or groups should not be inordinately burdened with research being carried out repeatedly on them.
- 6.3.6 Integrity, transparency and accountability: The conduct of research and innovation should be honest, fair and transparent. Researchers should be honest about their own limitations, competence, belief systems, values and needs. The contribution of other researchers or members of the research team should be properly acknowledged. Researchers should not abuse their positions or knowledge for personal power or gain.
- 6.3.7 Risk minimization: Researchers should ensure that the actual benefits to be derived by the participants or society from the research clearly outweigh risks, and that participants are subjected to only those risks that are necessary for the conduct of the research and innovation. Researchers should ensure that the risks are assessed and that adequate precautions are taken to minimize and mitigate risks.
- 6.3.8 Non-exploitation: There may be no exploitation of research participants, researchers (including student and junior members), communities, institutions or vulnerable people. There should be a benefit to a community in which research is conducted. As far as possible, communities should receive feed-back on research carried out on them.

6.4 Responsible Research and innovation

All research subjects, such as animal, cultural, biological, environmental or physical, should be handled with respect and care. The health, safety or welfare of the community, or of collaborators and others connected with the research and innovation, should always be upheld.

6.5 Research Misconduct

Research misconduct involves fabrication, falsification, or plagiarism in proposing, performing, or reviewing research or in reporting research results; fabrication is making up data or results and recording or reporting them. It could mislead other researchers, and it may threaten individuals or society or lead to restrictions being imposed on research. The response to misconduct must be proportionate to the seriousness of the misconduct and it must be demonstrated that the misconduct was committed intentionally, or knowingly. Thus proof must be based on evidence.

7. Policy Applicability

The policy covers all BIUST research including affiliates and all entities.

8. Policy Implementation

The Deputy Vice Chancellor Research and Innovation is the custodian of this policy. This Policy will be reviewed at planned intervals.