UNIVERSITY OF GONDAR

RESEARCH INTEGRITY GUIDELINE

June, 2024

Gondar, Ethiopia

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1. Background

All sciences in general and medical science in particular are extremely bound to professionally operate with ethics. The Hippocratic Oath (North, 2002) showed that physicians swear to uphold the utmost professional ethical standard. The texts of ethics strongly compel researchers and students to obey their mentors/teachers and the greater community of scholars/physicians with responsibilities similar to that of family members. The creation of the oath may have marked the early stages of medical training to those outside the first families of Hippocratic medicine.

The birth of modern research ethics began with a desire to promote: (1) People are autonomous (2) People with diminished autonomy should be protected; (3) The continuity of any life on earth should be secured/ maintained; and (4) the suitable use of resources and environmental protection should be ensured. The first attempt to craft regulations began during the Nazi Doctors' Trial of 1946-1947 (Grodin, 1992). In the Doctors' Trial, 23 German Nazi physicians were accused of conducting abhorrent and torturous "experiments" with concentration camp inmates (Israel, 2016). The accused physicians tortured brutalized, crippled, and murdered thousands of victims in the name of research. Some of their experiments involved gathering scientific information about the limits of the human body by exposing victims to extreme temperatures and altitudes (Grodin, 1992). The most gruesome and destructive experiments tested how quickly a human could be euthanatized in order to carry out the Nazi racial purification policies (Dodd, C. 20005).

To prosecute the accused Nazi Doctors for the atrocities they committed, a list of ethical guidelines for the conduct of research – the Nuremberg Code – were developed (McLaughlin, 1946). The Nuremberg Code consisted of ten basic ethical principles that the accused Doctors violated (Dodd, T. 2006). The 10 guidelines were as follows:

1. Research participants must voluntarily consent to research participation
2. Research aims should contribute to the good of society
3. Research must be based on sound theory and prior animal testing
4. Research must avoid unnecessary physical and mental suffering
5. No research projects can go forward where serious injury and/or death are potential outcomes

6. The degree of risk taken with research participants cannot exceed anticipated benefits of results
7. Proper environment and protection for participants is necessary
8. Experiments can be conducted only by scientifically qualified persons
9. Human subjects must be allowed to discontinue their participation at any time
10. Scientists must be prepared to terminate the experiment if there is cause to believe that continuation will be harmful or result in injury or death.

The Nuremberg Guidelines (Katz, 1996) paved the way for the Helsinki Declaration. The Helsinki Declaration was developed by the World Medical Association (1964) and has been revised and updated up to 2000. The document laid out basic ethical principles for conducting biomedical research and specified guidelines for research conducted either by a physician, in conjunction with medical care, or within a clinical setting. The Helsinki Declaration not only contains all the basic ethical elements specified in the Nuremberg Code but also advanced further guidelines outlined below:

- Research with humans should be based on the results from laboratory and animal experimentation.
- Research protocols should be reviewed by an independent committee prior to initiation
- Informed consents from research participants are necessary
- Research should be conducted by ethical qualified individuals
- Risks should not exceed benefits

There are numerous reasons for adhering to ethical norms in research:

- Norms promote the aims of research, such as garnering knowledge, promoting truth, and avoidance of error.
- Since research involves a great deal of cooperation and coordination among many people from different disciplines and institutions, observing ethical standards promote values of collaboration. Cooperation promotes trust, accountability, mutual respect, fairness, data sharing, and the protection of intellectual property in research.
- Abiding by ethical norms make researchers accountable to the public.

- Ethical rules in research also help to build public support for research where people more likely to fund a research project only when they can trust the quality and integrity of research.
- Many of the norms of research promote a variety of moral and communal values, such as social responsibility, human rights, animal welfare, compliance with the local, national and international law, and public health and safety. Ethical lapses in research can significantly harm humans, animals, plants and environments.
- Research with animals is necessary and vital to biomedical research because animal research is frequently a necessary first step towards research involving new medical treatments and pharmaceuticals intended for human use. Research with animals is a necessary evil to the advancement of medicine, but has to aim to eliminate unnecessary suffering, pain, and poor facility conditions for animal subjects. Thus, researcher must make sure that:
    - Animals intended for use in research facilities or for exhibition purposes or for use as pets are provided humane care and treatment;
    - The humane treatment of animals during transportation in commerce are ensured; and
    - Owners of animals are protected from the theft of their animals by preventing the sale or use of animals which have been stolen.

Based on the principle of justice, particular individuals, groups or communities should neither bear an unfair share of the direct burdens of participating in research, nor should they be unfairly excluded from the potential benefits of research participation and its outputs. Inclusiveness in research and fair distribution of benefits and burdens should be important considerations for researchers and institutional review boards (IRBs). These rules, norms and standards, are very important for all institutions conducting research including the University of Gondar. Those who conduct research involving human participants (Survey, participant observation, and all forms of interview…etc.) must obtain ethical approval from the Institutional Review Board of the University of Gondar and/or Ethics Committee of the University Units.

On the utilization of biological materials and protecting biological diversity is becoming critical and global issue. As a result of this a convention on this and related matters was opened for

signature at the United Nations Conference on Environment and Development and entered into force on 29 December 1993. The Convention (Nagoya, 2011 protocol) is the only international instrument comprehensively addressing biological diversity with three objectives: the conservation of biological diversity, the sustainable use of its components and the fair and equitable sharing of benefits arising from the utilization of genetic resources. All the articles developed below are extracted from the same document.

By promoting the use of genetic resources and associated traditional knowledge, and by strengthening the opportunities for fair and equitable sharing of benefits from their use, the guideline shall create incentives to conserve biological diversity, sustainably use its components, and further enhance the contribution of biological diversity to sustainable development and human well-being.

Furthermore, the motivation for this guideline development was initiated due to the fact that different colleges at the University of Gondar came up with different guidelines with the same concept but different perspectives. For example: The College of Medicine and Health Sciences and Comprehensive Specialized Hospital Research Guideline was developed by the College of Medicine and Health Sciences (CMHS) in 2020. The College of Veterinary Medicine and Animal Sciences (CVMAS) developed a Guideline for Ethics in Research and Teaching involving animals in 2021. Then, the Office of the Vice President for Research, Technology Transfer and Community Services established a committee harmonizing these guidelines and to make them comprehensive in terms of ultimate goal, scope and to have a legal component for the different types of misconduct. After its development, the committee addressed feedback forwarded from internal and external reviewers. As per the knowledge of the committee, it is the first of its kind in Ethiopia for having comprehensive guidelines containing research, community engagement and technology transfer components with legal components for each misconduct.

Preventing research misconduct typically poses a challenge in the absence of an effective detection and prevention mechanism. Nevertheless, the University of Gondar is yet to establish its research integrity guideline that aligns with the university's regulations to uphold research and academic integrity and foster high-quality scholarly practices among all members of the academic community. The formulation and institutionalization of such guideline are essential within this context.

2. Definition of Terms

Ethics: a moral philosophy or code of morals practiced by a person or group of people.

Research ethics: involves the application of fundamental ethical principles to research activities which include the design and implementation of research, respect towards society and others, the use of resources and research outputs, scientific misconduct and the regulation of research.

Anonymity: is the protection of the participant in a study so that even the researchers cannot link the subject with the information provided.

Confidentiality: is prevention of disclosure, to other than authorized individuals, of a participant's identity.

Veracity: it refers to the need for researchers to tell the truth and to impart information in a comprehensive and objective way. There may be a methodological reason for limited disclosure but this must be carefully justified.

Deception: is the act of making someone believe something that is not true

Integrity: It is the act of researchers shall demonstrate honesty and truthfulness. Researchers should not fabricate data, falsify results, or omit relevant data etc. They should report findings fully, minimize or eliminate bias in their methods, and disclose underlying assumptions.

Informed Consent: All research participants must voluntarily agree to participate in research, without pressure from financial gain or other coercion, and their agreement must include an understanding of the research and its risks.

Privacy: Research participants have the right to control access to their personal information and to their bodies during data collection. Participants may control how others see, touch, or obtain their information.

Plagiarism: means the action or practice of taking someone else's work, idea, etc., and passing it off as one's own.

Anti-plagiarism: means detection and prevention by imposing sanctions on any act of copying another person’s ideas, words or writing and pretending that they are one’s own work.

Plagiarism sanction: means penalties imposed on academic work with an overall similarity index greater than the stipulated in this guideline.

Detection System: m e a n s any method or activity that the University uses to detect plagiarism. This can be consultation, plagiarism detection software, online tools, etc.

Similarity Index: means an indication of how much information contained in an article (scholarly work) is matched to other sources. It is reflected by the percentage of overlap between the text submitted to plagiarism detection system and that in the original source material.

3. Scope

The University's research integrity guideline shall apply to all academic, research, technology transfer, community engagement and consultancy activities conducted by the university community; staff (academic, research, and supporting staff) and students/ research scholars (undergraduate, postgraduate, and postdoc scholars), any other training and collaborators engaged in academic and research matters. It shall apply to all academic resources (print and electronic materials) generated by the University community and to any other documents submitted to the University of Gondar, such as books, journals, proceedings, theses, dissertations, and other publications and products.

4. Purpose

The purpose of this guideline is to detect, deter and protect scholarly integrity at the University of Gondar and its collaborators.

The specific objectives are:

- Institutionalizing research misconduct through proper channels;
- Clearly articulating the implications of misconducts;
- Formulating a mechanism for detecting and handling instances of research, community engagement, technology transfer misconducts, and imposing fitting repercussions for incidences of misconducts and the ensuing disciplinary measures;
- Defining clearly the responsibilities of stakeholders in preventing and managing misconducts.

5. Rationale

Given that UoG becomes Research University based on the differentiation made, the number of staff involved in researches, Community Engagement (CE) and Technology Transfer (TT) are

significantly increasing. Moreover, PhD programs are increasing with large capacity of enrolling students.

- ✓ There are lots of complains of research misconducts among staff and students
- ✓ Researches that involve strong study designs (RCTs) are increasing in volume and scope.

Therefore, this guideline is intended to manage the misconducts arising from the university community during academic, research, community engagement and Technology transfer practices.

Ethics is one of the philosophical concepts that deal with distinctions between right and wrong-with the moral consequences of human actions. Breaching ethical principles is a misconduct which can have undue effect on all participants, nature and organisms. Developing understandable, communicable, facilitator and governing guideline in well-stipulated document is essential for a research institution like the University of Gondar in order to achieve the aforementioned pillars. Hence, the purpose and rationale of developing and use of this guideline is to highlight the major ethical principles and procedures in executing research, technology transfer and community engagement activities under the University of Gondar. Guiding the university on how to promote ethical code of conducts, prevent and take corrective actions on research, technology transfer and community engagement misconducts is vital.

6. Research, Technology transfer and Community engagement ethical principles

6.1. Research Ethics Principles

Ethical research principles are about the relationship between researchers, research participants, funders, sponsors, and other stakeholders. Research ethics principles are designed to guide researchers in the planning and conduct of research and are based on a number of central and important ethical principles which reflect the common standards, values and aspirations of the research community.

All research involving human-beings, animals and plants as well as ecology should be conducted in accordance with five basic ethical principles, namely respect for human beings, beneficence, non-maleficence, justice and research merits and integrity.

6.1.1. Respect for human-beings

Respect is an overarching consideration and represents recognition of each human being's intrinsic value. As such, making opportunity for human beings to exercise autonomy and make their own decisions is paramount, as is a commitment to participant welfare over and above research goals. Respect requires prior knowledge of and due regard for the culture, values, customs, beliefs and practices, both individual and collective, of those involved in research. It also requires mindfulness of differences in values and culture between researchers and participants, thus avoiding 'difference blindness' which can undermine both trustful relationships as well as research integrity.

Respect involves honoring the rights, privacy, dignity, entitlements and diversity of those contributing to research. Informed consent is fundamental to upholding the principle of respect, in giving a research participant the choice to voluntarily participate in the research process. Informed consent means a participant is given clear information about the research, is able to choose not to participate and is able to withdraw at any time, without consequence (any limits to this right should be explained).

6.1.2. Beneficence and non-maleficence

Beneficence is action that is done for the benefit of others. This principle implies that the expected benefit to participants or the wider community justifies any risks of harm or discomfort to participants. To fulfill this principle research must be of value to participants, their community, country or development practice more broadly, be designed to minimize risks and participants must be duly informed of potential benefits and risks of the research. In a development context, the research process itself should be viewed as an 'intervention', with its own impacts and consequences, and as such, should carry a commitment to support empowerment and participation.

Beyond beneficence, the concept of "do no harm" (non-maleficence) is also critical, particularly in fragile states. There are many types of harm that require anticipation and consideration. Harm can be immediate or long-term and can be physical, social, emotional or psychological. Harm

may pertain to the welfare and security of an individual, institution or group. Examples include discomfort, embarrassment, intrusion, devaluation of worth, unmet expectations, distress and trauma. Political and social factors may also jeopardize the safety of participants before, during or after research. To 'do no harm' means such risks and harm are anticipated, planned for, and used to seriously question proceeding with proposed research.

6.1.3. Research merit and integrity

Research deemed to have merit is well-justified, meets relevant quality criteria and is conducted by persons or teams with sufficient experience and competence. Justification of research relates to its potential benefit in the form of new knowledge or improved social welfare or individual well-being. Meeting relevant quality criteria means that the research demonstrates alignment between the aims, questions, and methods and these are appropriate to the research context, including its culture and values and taking into account intercultural difference.

Research integrity is secured by researcher (and research funder or commissioner) commitment to genuine search for knowledge and understanding, following recognized principles of honest research conduct. This commitment is particularly important in development work, as development organizations may have vested interests in particular research findings that may or may not align with actual findings. Integrity also encompasses dissemination and communication of results not only to research participants but more broadly, in ways that permit scrutiny and contribute to knowledge, and that preserve and protect the trust participants place in researchers.
Researchers should demonstrate honesty and truthfulness. They should not fabricate data, falsify results, or omit relevant data. They should report findings fully, minimize or eliminate bias in their methods, and disclose underlying assumptions.

6.1.4. Justice and Inclusiveness

The principle of justice means treating people equally and fairly and ensuring that they are accorded their full rights. This principle is generally described in relation to equity: a fair process for recruitment of research participants; no unfair burden of participation on particular groups; and fair distribution of and access to the benefits of participation in research. Justice also takes in the recognition that there should be no exploitation of participants in the conduct of research, and instead, active protection of participant wellbeing.

It also involves ensuring that all relevant social groups are actively included in research and that attempts are made to avoid further marginalization, discrimination and exclusion of under-represented social groups. Finally, justice requires make findings accessible to participants in a timely, clear manner in a format that is meaningful for participants. Justice also concerns the distribution of benefits and burdens of research.

6.1.5. Research Norms

Norms are group behaviors that are shared by most to the members of a certain social structure such as researchers. Norms are important to scientific research. Merton (2007) speculated a set of norms that govern good science/research practice:

Communalism: Everybody in the scientific society has a common ownership of scientific knowledge

Universalism: All researchers can contribute to the advance of knowledge

Disinterestedness: Researchers should work for the good of the scientific enterprise as opposed to personal gain

Organized skepticism: Any results reported by studies should be examined critically before they are accepted.

6.1.6. Research Values

The truthfulness of research is based on the foundational core values of science. Several previous research ethics guides have identified various core values. The research system could not operate without these shared values that shape the behaviors of all who are involved within the system.

Honesty: Researchers should not fabricate, falsify, or misrepresent data or results. They should be objective, unbiased, and truthful in all aspects of the research process.

Carefulness: Researchers should avoid errors in research, especially in presenting results. They should minimize experimental, methodological, and human errors and avoid self-deception, bias, and conflicts of interest.

Openness: Researchers should share data, results, methods, ideas, techniques, and tools. They should allow other scientists to review their work and be open to criticism and new ideas.

Freedom: Researchers should be free to conduct research on any problem or hypothesis. They should be allowed to pursue new ideas and criticize old ones.

Credit: Credit should be given where credit is due but not where it is not due.

Education: Researchers should educate prospective researchers and ensure that they learn how to conduct good research. Researchers should educate and inform the public about science.

Social responsibility: Researchers should avoid causing harms to society and they should attempt to produce social benefits. Researchers should be responsible for the consequences of their research and they should inform the public about those consequences.

Legality: In the process of research, scientists should obey the laws pertaining to their work.

Opportunity: Researchers should not be unfairly denied the opportunity to use scientific resources or advance in the scientific profession.

Mutual respect: Researchers should treat colleagues with respect.

Efficiency: Researchers should use resources efficiently.

6.2. Technology Transfer

Technology transfer is the process of transferring scientific findings or new knowledge and technologies for public use or for commercialization after validating their usefulness through participatory demonstration and evaluation with users. It is also a process for applying known technologies to new and novel applications, developing innovations, protecting intellectual property and licensing the intellectual property for commercial application. This can occur through publication, exchange at conferences and linkage with industries.

Intellectual Property (IP) is a creation of the mind or intellect, the ownership of which is recognized and protected by law. It includes any patentable invention, tangible research property, works protected by copyright, trademarks, and trade secrets, works of art, and inventions or creations that might normally be developed on a proprietary basis. The Ethiopian intellectual property right office under ministry of science and technology has developed the intellectual property policy.

Commercialization is the process of conveying new products or services to the market. University of Gondar gives grant in every year for technology transfer projects. The output for successful completion of this TT projects were assumed to be the development of prototypes. And, it should be disseminate to the community through commercialization. The technology and

business incubation center under University-industry linkage and TT office shall act as a business unit for the commercialization. The TT-office should consult the TT developers either to apply for IP right or not depending on nature of the technology and the willingness of the developers.

Patent is a title granted to inventors which creates a legal situation in which the patented invention can only be exploited with the authorization of the owner of the patent. a patent gives an inventor the right for a limited period to stop others from making , using or selling an invention without his/her permission. Invention means a solution to a specific problem in the field of technology. An invention may relate to a product or process. In Ethiopia the protection conferred by the patent is limited to 15 years. This period may be extended by a further period of five years if the patentee provides proof that he has properly worked the invention in Ethiopia.

Patents are about functional and technical aspects of products and processes. Most patents are for incremental improvements in known technology rather than for radical innovations. In order to be granted a patent the technology does not necessarily have to be complex. What is required of an invention to qualify for a patent is meeting three criteria: novelty: non-obviousness and industrial applicability.

Utility model is a form of intellectual property right granted for an invention, a short-term registered right granted for inventions that often lack the same degree of inventive step that patent law requires. In some countries, invention may be protected by utility model, which are also referred to as “small patents” or “petty patents. A utility model is an exclusive right granted for an invention, which allows the right holder to prevent others from commercially using the protected invention, which without his/her authorization, for a limited period of time. In its basics definition, which may vary from one country to another, utility model is similar to a patent. Main difference between utility model models and patent are the cost to obtain and maintain utility model is cheap compared to a patent, the period of protection for a utility model is shorter, utility model does not involve examination which makes its registration process simpler and faster taking on average of six months and the requirement for obtaining a utility model are less stringent than for patents

6.2.1. Ethical concerns in technology

Ethical concerns in technology will result the following ethical dilemmas:

- Environmental ethical concerns regarding the question whether the environmental impacts of a technology can be justified like deforestation, mining for fossil fuels and minerals, contamination of resources, soil erosion and overconsumption of resources etc.
- Unethical impact of technologies on health; includes physical, mental and environment etc.
- Safety is an ethical concern about the safety of technologies and the potential damage they could do, e.g. injury and death, economic damage, social and political damage, damage to national security, etc.
- Justice, access and equality cover ethical concerns regarding the distribution of goods and risks for harm that result from the use of new technologies (justice issues), the question of whether everyone has adequate access to important new technologies (access issues, which are also a kind of justice issue) and whether or not technologies help increase or decrease equality and equal opportunity of human beings in society.
- Individual rights and liberties cover ethical concerns about whether and how the impacts of technologies may reduce or violate individual rights and liberties, such as the right to privacy, right to freedom of information, right to freedom of movement, property rights, etc.
- Autonomy, authenticity and identity cover ethical concerns regarding the impact of technology on free will, the ability to have one's own thoughts, to make one's own decisions, to be an authentic person, and to form and to develop one's own biographic and social identity. Some technologies that have been controversial in this regard include neuro technologies, human enhancement technologies, reproductive technologies, and artificial intelligence.
- Human dignity covers ethical concerns regarding the impact of technologies on the inherent and inalienable value of every human being like by human cloning, reengineering of humans, and human enhancement.
- Bodily integrity covers ethical concerns concerning technologies that infringe the inviolability of the physical body and take away self-determination of human beings over their own bodies.

- Dual use covers the possibility that a new technology or technological product can be used in ways other than its intended use, and that this alternative way of using it is morally controversial. Thus there is a "good" and an "evil" way of using the technology, hence the term "dual use". Dual use issues arise with regard to civilian technologies that can be used for military purposes, as well as benign technologies that can be used for harmful purposes such as change, the release of genetically modified organisms, reproductive cloning, human enhancement, and others.

6.2.2. Ethics in Technology Transfer

Moral people who are dealing with technology must observe ethics in the process of transferring technology. Here, technology transfer process is explained with six phases; technology innovation, technology confirmation, targeting technology consumers, technology marketing, technology application, and technology evaluation. In technology transfer, moral deliberation-i.e., social responsibility; social utility; and individual, professional, and institutional survival have to be given utmost value. Hence, the role of ethics in technology transfer and development has a paramount importance.

In technology transfer, the Kantian position of the "categorical imperative" that advocates for the rationalization of the golden rule: do unto others as you would have them do unto you be advanced. One of Kant's (1959) formulations of the categorical imperative is: "Act so that you treat humanity, whether in your own person or in that of another, always as an end and never merely as a means". Kant admonishes people to treat other people as ends worthy of respect and never merely as means. Hence, technology transfer should rely on Kantian principles.

The University of Gondar's knowledge and technology transfer guideline (2012) states that TT is the movement of knowledge and discoveries from university to the general public through:

- Promoting the application of the results of scientific research for the public good;
- Complying with federal law and sponsored research contracts
- Recruiting, rewarding and retaining faculty interested in seeing their technologies further developed
- Providing opportunities for exchanges of information and materials with industry
- Promoting economic development; generating an income stream for investment into research and teaching.

The stakeholders in technology transfer can be persons, groups, or institutions of various sorts-i.e., governments, corporations, foundations, nonprofit agencies, scientific committees, or countries. With these views in mind, Kant's categorical imperative gives rise to three factors for ethical considerations in technology transfer: promotion of organization survival, preservation of individuality, and presence of goodwill. Also, Technology transfer at the University of Gondar must respect local cultures, the utilization of technology for general good and making the transfer non-intrusive.

6.3. Community Engagement

Community-based participatory engagements are based on a commitment to sharing power and resources and working towards beneficial outcomes for all participants, especially communities. It might lead and undertaken by members of community groups and organizations themselves or more commonly by community groups working alongside or in partnership with professional researchers.

Communities are not static, nor do they comprise people who are like-minded in all aspects. Conflict may be already generated by the service delivery process. It often involves working with conflict, which needs to be acknowledged and can be creative. In particular, community engagement involves a partnership between professional researchers/research organizations and community researchers/community organizations, issues arise relating to the use of power and the tendency for professional researchers.

In conducting community engagement activities, one should cover questions relating to what kinds of lives should lead, what counts as a good society, what actions are right and wrong, what qualities of character should be developed and what responsibilities humans have for each other and the ecosystem. For this context, ethics as a subject area traditionally covers topics such as the overall harms and benefits of the enrolled activities, the rights of participants to information, privacy, anonymity, and the responsibilities of researchers to act with integrity within the community.

The ethical principles underpinning community based engagements emphasize active participation in the delivery process. This means it is important that these principles are made

explicit, in order to ensure all participants are aware of them, and able to discuss what they mean in their own contexts and work together to interpret, develop and implement them.

In general, the ethical principles and practice should:

- raise ethical awareness amongst all host partners and participants
- encourage discussion about ethical issues that can arise in community engagements process
- offer ethical guidance to partners and participants in community engagement activities
- inform research institutions (including universities), research funders and sponsors about what ethical issues might come up so they can ensure community based engagements are conducted according to the highest standards

6.3.1. Community Engagement Ethical Principles

The ethical issues that should be considered in line with conducting community engagement activities are:-

1. Mutual respect

Developing community engagement relationships based on mutual respect, including a commitment to:

- agreeing what counts as mutual respect in particular contexts
- everyone involved being prepared to listen to the voices of others
- accepting that there are diverse perspectives

2. Equality and inclusion

Encouraging and enabling people from a range of backgrounds and identities (e.g. ethnicity, faith, class, education, gender, dis/ability, age) to lead, design and take part in community engagement, including a commitment to:

- seeking actively to include people who are vulnerable segments of the society
- challenging discriminatory and oppressive attitudes and behaviors
- ensuring information, venues and formats for meetings are accessible to all

3. Democratic participation

Encouraging and enabling all participants to contribute meaningfully to decision-making and other aspects of the delivery process according to skill, interest and collective need, including a commitment to:

- acknowledging and discussing differences in the status and power of community engagement participants, and working towards sharing power more equally
- communicating clearly using language everyone can understand
- using participatory delivery methods that build on, share and develop different skills and expertise

4. Active learning

Viewing community engagement collaborations and the process of deliveries as an opportunity to learn from each other, including a commitment to:

- ensure there is time to identify and reflect on learning during community engagement, and the on ways people learn, both together and individually
- offer all participants the chance to learn from each other and share their learning with wider audiences
- share responsibilities to all parties to carry out the community engagement activities

5. Making a difference

Promoting community engagements that create positive changes for communities of place, interest or identity, including:

- engaging in debates about what counts as 'positive' change, including broader environmental sustainability as well as human needs or spiritual development, and being open to the possibility of not knowing in advance what making a 'positive difference' might mean
- valuing the learning and other benefits for individuals and groups from the delivery process as well as the outputs and outcomes of the activities
- building the goal of positive change into every stage of the community engagements

6. Collective action

Individuals and groups working together to achieve change, including commitment to:

- identify common and complementary goals that meet partners' differing needs
- work for agreed visions of how to share knowledge and power more equitably and promote social change and social justice
- recognize and work with conflicting rights and interests expressed by different sections of communities or by different communities

7. Personal integrity

Participants behaving reliably, honestly and in a trustworthy fashion, including a commitment to:

- working within the principles of community based participatory routine
- ensuring accurate and honest analysis and reporting of the output
- being open to challenge and change and prepared to work with conflicts

6.3.2. Ethics in Community Engagements

Community engagement at the University of Gondar must be based on ethical principles where privacy, dignity and collective worth of participants are highly respected. All those who engage in community service under the University of Gondar shall follow principles outlined below.

1. Humility

As community members are decent collective, a scholar has to listen generously, remain curious, keep an open mind, and maintain a learning attitude; be mindful of community needs, assets, interests and institutional privileges, as well as the need to center the voices and experiences of individuals and communities.

2. Respect

Respect begins with self-awareness, recognition of the intrinsic value of others, and treating others how they want to be treated. In the context of community service, respect compels scholars to recognize differences between people as valued assets, while acknowledging the visible, invisible, and intersecting dimensions of identity, power, and privilege. The principle of inclusion should actively challenge biases, stereotypes, and assumptions.

3. Reciprocity

A reciprocal relationship with community members is characterized by interdependence; consideration of collective strengths, knowledge, and capacity to influence others; promoting shared responsibility to work toward mutual benefit and growth. Reciprocity enforces collaboration with community partners (or those impacted by community service) in the design, facilitation, and evaluation of efforts to ensure value and relevance to all involved.

4. Preparation

Ethical preparation requires researching information about the partner organizations and communities and developing awareness. It compels participating scholars to be flexible and willing to adapt to changing circumstances that can occur before, during, and after the service provision and to tap the knowledge and expertise of community partners, faculty, and staff before engaging in a community work.

5. Safety and well-being

Scholars have to ensure the physical and emotional safety and well-being of all participants and the society. Those who facilitate community service should be in compliance with the safety requirements and liability concerns of community partners and the University of Gondar.

6. Accountability

The person leading community service is expected to be accountable; holding him/herself responsible for the actions and commitments. Success is not only about attaining all of the goals and objectives to perfection, as much as it is about recognizing, negotiating, and taking ownership of outcomes within our reach and capacity. All participating scholars have to acknowledge the impact their actions, inaction, and limitations have on others. Accountability compels them to accept their shortcomings with a spirit of humility and commit to redressing their mistakes.

7. Fair and Equitable Benefit-Sharing

- Benefits arising from the utilization of genetic resources as well as subsequent applications and commercialization shall be shared in a fair and equitable way with the party providing such resources that is the country of origin of such resources or a party that has acquired the genetic resources in accordance with the Convention.
- Each Party shall take legislative, administrative or policy measures, as appropriate, with the aim of ensuring that benefits arising from the utilization of genetic resources that are held by indigenous and local communities are shared in a fair and equitable way with the communities concerned, based on mutually agreed terms.
- Benefits may include monetary and non-monetary benefits

8. Access to genetic resources

For their utilization access to genetic resources shall be subject to the prior informed consent of the party providing such resources that is the country/community of origin of such resources or a party that has acquired the genetic resources in accordance with the Convention, unless otherwise determined by that party.

9. Access to Traditional Knowledge Associated with Genetic Resources

In accordance with domestic law, each Party shall take measures, as appropriate, with the aim of ensuring that traditional knowledge associated with genetic resources that is held by indigenous and local communities is accessed with the prior and informed consent or approval and involvement of these indigenous and local communities, and that mutually agreed terms have been established.

10. Special Considerations

In the development and implementation of its access and benefit-sharing legislation or regulatory requirements, each party shall:

- Create conditions to promote and encourage research which contributes to the conservation and sustainable use of biological diversity, particularly in developing countries, including through simplified measures on access for non-commercial research purposes, taking into account the need to address a change of intent for such research;
- Pay due regard to cases of present or imminent emergencies that threaten or damage human, animal or plant health, as determined nationally or internationally. Parties may take into consideration the need for expeditious access to genetic resources and expeditious fair and equitable sharing of benefits arising out of the use of such genetic resources, including access to affordable treatments by those in need, especially in developing countries;
- Consider the importance of genetic resources for food and agriculture and their special role for food security.

11. Contribution to Conservation and Sustainable Use

The Parties shall encourage users and providers to direct benefits arising from the utilization of genetic resources towards the conservation of biological diversity and the sustainable use of its components.

12. Global Multilateral Benefit-Sharing Mechanism

Parties shall consider the need for and modalities of a global multilateral benefit-sharing mechanism to address the fair and equitable sharing of benefits derived from the utilization of genetic resources and traditional knowledge associated with genetic resources that occur in trans-boundary situations or for which it is not possible to grant or obtain prior informed consent. The benefits shared by users of genetic resources and traditional knowledge associated with genetic resources through this mechanism shall be used to support the conservation of biological diversity and the sustainable use of its components globally.

13. Trans-boundary Cooperation

In instances where the same genetic resources are found in situ within the territory of more than one Party, those Parties shall endeavor to cooperate, as appropriate, with the involvement of indigenous and local communities concerned, where applicable, with a view to implementing this Protocol. 2. Where the same traditional knowledge associated with genetic resources is shared by one or more indigenous and local communities in several Parties, those Parties shall endeavor to cooperate, as appropriate, with the involvement of the indigenous and local communities concerned, with a view to implementing the objective of this Protocol.

14. Traditional Knowledge Associated With Genetic Resources

- In implementing their obligations under this Protocol, parties shall in accordance with domestic law take into consideration indigenous and local communities' customary laws, community protocols and procedures, as applicable, with respect to traditional knowledge associated with genetic resources.
- Parties, with the effective participation of the indigenous and local communities concerned, shall establish mechanisms to inform potential users of traditional knowledge associated with genetic resources about their obligations, including measures as made available through the Access and Benefit-sharing Clearing-House for access to and fair and equitable sharing of benefits arising from the utilization of such knowledge.
- Parties shall endeavor to support, as appropriate, the development by indigenous and local communities, including women within these communities, of:
  - Community protocols in relation to access to traditional knowledge associated with genetic resources and the fair and equitable sharing of benefits arising out of the utilization of such knowledge;

- Minimum requirements for mutually agreed terms to secure the fair and equitable sharing of benefits arising from the utilization of traditional knowledge associated with genetic resources; and
- Model contractual clauses for benefit-sharing arising from the utilization of traditional knowledge associated with genetic resources.

15. Monitoring the Utilization of Genetic Resources

To support compliance, each Party shall take measures, as appropriate, to monitor and to enhance transparency about the utilization of genetic resources. Such measures shall include:

- The designation of one or more checkpoints, as follows:
  - Designated checkpoints would collect or receive, as appropriate, relevant information related to prior informed consent, to the source of the genetic resource, to the establishment of mutually agreed terms, and/or to the utilization of genetic resources, as appropriate;
  - Each Party shall, as appropriate and depending on the particular characteristics of a designated checkpoint, require users of genetic resources to provide the information specified in the above paragraph at a designated checkpoint. Each Party shall take appropriate, effective and proportionate measures to address situations of non-compliance;
- Encouraging users and providers of genetic resources to include provisions in mutually agreed terms to share information on the implementation of such terms, including through reporting requirements; and
- Encouraging the use of cost-effective communication tools and systems.

16. Evaluation

The assessment involves the iterative and active incorporation of qualitative and quantitative methods to assess the impact of the efforts throughout the service experience. This principle compels scholars and community members to be aware of and attend to the direct, indirect, and unintended results (positive or negative) of the service. This principle requires scholars to intentionally and creatively build in opportunities to gather regular feedback from community partners and participants to assess the values, refine the practices, and improve the quality of their work.

7. **Competing/Conflict of Interests**

A competing interest exists when the authors'/investigators' interpretation of data or presentation of information may be influenced by their personal or financial relationship with other people or organizations. Authors/investigators shall disclose any financial competing interests but also any non-financial competing interests that may cause them embarrassment if they were to become public after the publication of the article or any other scientific pieces of work.

Mentioning competing/conflicting interest is a vital step in writing a manuscripts and processing it for publications. It is important that the editor, reviewers and future readers are fully aware of any potential competing/conflicting interest that primary author and co-authors may have in relation to the work presented in the manuscripts. Editors and reviewers are also declare any competing/conflicting interest and will be excluded from peer review process if a competing/conflicting interest exists.

Conflict of interest in research exists when an individual (author, investigator, editor, and reviewer) has a specific interest, which could affect his or her impartiality, or maliciously influence his/her actions. Because of the existence of a potential conflict, the integrity of the research might get affected.

Therefore, there are majorly four types of conflicts of interest: financial, personal, contractual, and professional conflict of interest.

Conflict of interest as reviewer

As a reviewer, you might find that the research you are evaluating is very similar to or perhaps competing with the document that you are currently preparing yourself, and it can decrease the importance of your research. In that case, you might dismiss it as inadequate. It is where conflict of interest in research occurs. All academic units in the University of Gondar can prepare and use their own ethics review format based on this guideline.

How to cope with conflict of interest?

Many reviewers, researchers, authors, face these kinds of conflicts while reviewing different types of manuscripts or researches. But, what is the solution if the conflict becomes apparent to the researcher?

The answer to these questions is that one shall never ignore it and should consider disclosing it. It is ethical to report the conflict of interest to make sure that the quality of the research in question must not get compromised. A researcher must immediately report these conflicts when they become apparent. In case, if it has become evident, and the researcher thinks that he/she can still do his/her work with integrity, even then the potential conflict must be reported to the concerned body. When the researcher takes a step forward and discloses the conflict, then it is reviewed by an independent substantive review committee or by the concerned body.

Understanding conflict of interest

It is pretty much clear that many types of conflict occur usually. Many researchers or reviewers around the globe face these conflicts while reviewing the research paper or manuscript or any scientific work like books. The best solution to cope with these conflicts is to report to the institution's concerned body. Disclosure of conflict of interest is the basis of the concerned body. Many researchers or reviewers ignore the potential conflict of interest, thinking that it will not affect their judgment but, the right thing to do is to report and let the editorial board decide. It is the ethical responsibility of every reviewer, author and person to report the conflict of interest to the authorities in charge.

8. Authorship and Publication

Authorship implies responsibility and accountability for published work. The contributors who have made substantial intellectual contributions to appear are given credit as authors, but also that contributors credited as authors understand their role in taking responsibility and being accountable for what is published. Authorship practices should be judged by how honesty they reflect actual contributions to the final research publications. It is important to the reputation, academic promotion, and grant support of the individual involved as well as to the strength and reputation of their institutions.

Many institutions and peer reviewed journals have established standards for authorship. These standards are similar on the basic issues but are changing overtime, mainly to take into account the growing proportion of research that is done in the University of Gondar by the teams whose members have highly specialized roles. Therefore, students and academic staffs of the University of Gondar will be governed by the following principles;

8.1. Creativity for claiming authorship

It is the act of turning new and imaginative ideas in the different phases of the research project. Creativity also characterized by the ability to perceive the world in new ways, to find hidden patterns, to make connections between seemingly unrelated phenomena, and to generate solutions.

A substantial contribution in one or more of the following phases of research is sufficient in order to warrant inclusion as author of the research paper. A lesser creative contribution warrants an acknowledgment in the research paper.

As of the University of Gondar six criteria's shall be considered for authorship. If a person contributes creativity at any of the following phases, that is enough to qualify him/ her as an author or co-author, depending on the magnitude of the contributions.

1. The idea/conceptualization

Without the idea, nothing else happens. If the idea grew out of a discussion, all who contributed get "credit" but perhaps not equally so, if one or more people were primarily responsible for the insights leading to the best way to pose the question to be answered by the research and the logic of the design.

2. Design of the study/proposal development/

The details of the design including all steps of proposal development (articulating statement of the problem; organizing insightful literature review; and designing a method section) should be considered for authorship. An individual who contributed creatively in the design phase warrants him to be an author.

3. The implementations

Someone must implement the design into actual materials; devise instructions, and so on. Typically the person doing the implementation is supervised closely, so some of the points may go to the supervisor. Authorship is awarded only to those who contribute substantially and creatively to a research project. If someone is receiving a class credit or payment and all they do is following the instruction and collecting data, this is worthy of an acknowledgment in the research paper, but not authorship. On the other hand, if they notice what subjects are actually doing and constructive suggestions for how to improve the method or the experiment, this

qualifies them to be included as an author. Specifically, if one notices problems in the method or procedure, and makes constructive suggestions about how to repair them, observes interesting hints about what is really going on in the debriefings, and so on, these counts as substantial creative contributions at this stage and eligible to be an author.

4. Data acquisition

If the data used for the article was taken from the ongoing related project; the principal investigator (PI) of the project, from where the data was taken, should be included as co-author. The ownership of the research data of the project belongs to the respective organizations. If PI chooses to delegate responsibility within the research group member, the delegated member will be eligible to be mentioned as author.

Secondary data which was collected from the routine health facility services and other data sources in other disciplines shouldn't be considered as a primary project data. Therefore, the team of the author is not obliged to include as an author from the respective discipline, rather they will be acknowledged.

5. Data analysis

Simply running the data using a software program is not enough to earn authorship at this phase. Contributing a novel insight into the best way to reveal the underlying patterns in the data, may be sufficient to be included as an author. Particularly labor-intensive or creative data analysis quality's the individual to be a member of the authors.

6. Write up and Publication

Nothing happens if the results are not reported, writing usually shared by several people. Credits is allocated primarily to the one who shapes the conceptual content, although a good and insightful literature review also counts heavily for authorship. If someone writes a first draft that is not used at all, this doesn't contribute towards the point: good intentions are not enough; the question is who has contributed how much to the final manuscript. Similarly, the sheer amount of the time one has spent on the project is not relevant; competent people who work more efficiently should not be penalized.

8.2. Order of Authors

The key to fair allocation of authorship, and equitable ordering, is to have criteria that are known to all the team members. These team members shall make ordering on the bases of agreed upon criteria. The significance of a particular order may be understood by a given setting, order of authorship has no generally agreed upon meaning.

As of the University of Gondar (UoG) the order of authorship shall be a descending order of contribution, placing the person who took the lead in writing the manuscript or doing the research first and most experienced contributor shall come last, alphabetic or random order shall be in the middle.

Generally, UoG students and staff shall follow the following three steps to write the order of authors:

- The authors shall decide the order of the authorship together.
- Authors shall specify in their manuscript a description of the contributions of each author and how they have assigned the order in which they are listed so that the readers will understand correctly.
- A primary author shall prepare a concise, written description of how order of authorship was decided.

8.3. Common Misconducts in Authorship

In practice, various bribes have fostered authorship practices that fall short of these standards. Junior investigators may believe that including senior colleagues as authors will improve the credibility of their work and its chances of publication, whether or not those colleagues have made substantial intellectual contributions to the work. They may not want to offend their chiefs, who hold substantial power over their employment, research opportunities, and recommendations for jobs and promotion. Senior faculty might wish to be seen as productive researchers even though their other responsibilities prevent them from making direct contributions to their colleagues' work. They may have developed their views of authorship when senior investigators were listed as authors because of their logistic, financial, and administrative support alone.

8.4. Authorship Implementation

Research teams shall discuss authorship issues frankly and early in the course of their work together. Disputes over authorship best settled by the author themselves. If they fail to solve it,

the concerned body will organize a committee in resolving the grievance through this guideline. Laboratories, departments, educational programs, and other organizations sponsoring scholarly work shall post, and also include in their procedure manuals, both this statement and a description of their own customary ways of deciding who should be an author and the order in which they are listed. They should include authorship policies in their orientation of new members. Authorship should be a component of the research ethics course that is required for all research fellows at UoG.

8.5. Authorship other than Publishable Articles

Discussions of authorship in academic centers usually concern published reports of original, scientific research. However, the same principles shall apply to all intellectual products: words or images; in paper or electronic media; whether published or prepared for local use; in scientific disciplines or the humanities; and whether intended for the dissemination of new discoveries and ideas, for published reviews of existing knowledge, or for educational programs including modules, manuals, books: textbook, handbooks, lecture notes, handouts etc.

9. Research/Technology Transfer/Community Engagement Misconducts

9.1. Research Misconducts

The objective of research is to extend human knowledge of the physical, biological, or social world beyond what is already known. Research encompasses varieties of activities that are tied up together by the ultimate goal of advancing knowledge and understandings. In order to get such a benefit from scientific research undertakings a researcher shall maintain the research integrity which is defined as 'the coherent and consistent application of values and principles extremely important to facilitating and achieving excellence in the search for, and dissemination of knowledge. Research integrity is considered as the foundation of excellent research; it also is a precondition for a blooming academic research environment. Moreover, the scientific enterprise is built on a foundation of trust but when this trust is misplaced and the professional standards of science are violated, researchers are not just personally feeling that the base of their profession has been undermined. There is no research endeavor completely immune protected from errors. Researchers might violate the ethical values or scientific standard while they are proposing, conducting, or reviewing research. These violations can be made either intentional or unintentional. An error made inadvertently by someone who has no direct intention to deceive is

known as honest error, and mostly unaware of the mistakes. Beyond honest errors and errors caused through negligence are known as research or scientific misconduct, which is a willful departure or violation of acceptable scientific standards.

There is no globally accepted definition of research misconduct hitherto there is common agreement on its definition; behavior deviates from the accepted standards of research conduct in professional scientific research such as 'non-adherence to rules, regulations, guidelines, and commonly accepted professional codes or norms' are considered as research misconduct, with Fabrication, Falsification and Plagiarism. According to the US Federal standards a finding of misconduct must be shown to be "a significant departure from accepted practices of the relevant research community" and to have been committed "intentionally, knowingly or recklessly. However, research misconduct does not include honest error or differences of opinion. Genuine mistakes, authentic academic/scientific error, honest disagreement, and poor research, unless there is an intention to deceive, do not constitute research misconduct. The major research, technology transfer and community engagement misconducts are the following:

9.1.1. Plagiarism

Plagiarism is defined as "The use of another author's language, thoughts, ideas, expressions, explanation, theory, conclusion, hypothesis, and a metaphor in whole or in part or with superficial modifications and representation of them as one's own original work without crediting or acknowledging the source in the main areas of thesis, dissertation, monograph, or manuscript".

- **Plagiarism of ideas**- the ideas of another author are borrowed but the wordings and format of presentation are changed.
- **Word for word plagiarism**- involves exact copying of phrases from a previously published work without citation.
- **Paraphrasing plagiarism**- some words are changed but not adequate enough
- **Plagiarism of authorship** - a person claims himself or herself to be the author of a complete work belonging to others.

9.1.1.2. Types of Plagiarism

9.1.1.2.1. Self-plagiarism

Self-plagiarism occurs when the author decides to reuse in whole or in part his/her own previously disseminated ideas, text, data, etc without any indication of their prior dissemination. The following are different forms of self-plagiarism:-

- **Duplicate publication**: - the authors of previously published paper submit roughly the same manuscript to a different journal. The second submission may have a slight different title, a different order of authorship, perhaps minor changes to the text of the manuscript but the data and statistical analysis are largely the same.
- **Augmented publications (also known as meat extender)**:- authors of a previously published paper may reuse its data and carry out a different set of statistical analysis. The results of these analyses are then included in a paper whose title, abstract and portions of introduction and discussion may now be somewhat different in the context of these new analysis. In another version, data from two or more previously published papers are presented together as new with perhaps additional statistical analysis included. In instances of augmented publication, or meat extender as this type of redundancy is sometimes called, authors simply add additional observations or data points to a previously published data sets. They then reanalyze the augmented data set, and publish a paper based on the new results.
- **Segmented or salami publication**: it is a distinct publication practice that may, in theory, contain little if any self-plagiarized text and/or data. However, even in the absence of any text or data reuse, the practice is nevertheless, problematic and actively discouraged in the science. A typical case involves a complex experiment/study (i.e. the whole salami) that yields multiple measures or sets of measure from the same study sample. Rather than publishing the results of these various data sets together in a single publication, the investigators analyze and publish each data set separately (i.e. salami slices). In this way the single experiment can yield two or more articles thereby enhancing the investigators' publication list. As in other forms of covert redundancy and covert duplication, this practice is considered misconduct if each salami slices (i.e. segmented publication) fails to reveal the fact that its data are derived from the same experiment as data from other related publications that were part of the same salami. There can be legitimate reasons for the various forms of redundancy. For example in longitudinal- type of studies (repeated measurements of reasonable time period).

9.1.1.2.2. Falsification

It signifies that the pruning of existing data to take on the required form or it is the act of manipulating research materials, equipment or changing or omitting critical data or results, or it is the act of torturing or massaging of data till a desired result is obtained through the use of inappropriate methods or techniques such as manipulating research materials, analysis, equipment or changing or omitting critical data or results.

9.1.1.2.3. Fabrication

Fabrication denotes that data or research results are quite simply invented and presented as if they were real, or it is the construction or making up and or addition of data, observations, or characterizations that never occurred in the gathering of data or running of experiments.

Fabrication can occur in a different form such as filling out the rest of experiment runs, claims made based on incomplete or assumed results**.**

9.1.1.2.4. Misrepresentation of Data

Misrepresentation of data' as 'communicating honestly reported data in a deceptive manner.' Deceptive communication is the use of statistics presents researchers with numerous opportunities to misrepresent data. For example, one might use a statistical technique, such as multiple regressions or the analysis of variance, to make one's results appear more significant or convincing than they really are. Or one might eliminate (or trim) outliers when 'cleaning up' raw data. Other ways of misrepresenting data include drawing unwarranted inference from data, creating deceptive graphs of figures, and using suggestive language for rhetorical effect.

Data suppression: is the failure to publish a portion of the results considered as being adverse to the interests of the scientist or financial sponsor.

Non-disclosure of a conflict of interest is a set of conditions in which professional judgment concerning a primary interest tends to be disproportionately influenced by a secondary interest

Unethical allocation of authorship credit includes the entities of disputed authorship and guest authorship

Guest author: is one who has not done any significant work towards the paper but has his name as one of the authors.

Gift authorship: the authorship has been gifted to a person by other author/s and it occurs when authorship is awarded to acknowledge friendship, to gain favor, and or to give the manuscript a greater sense of legitimacy.

Pressured authorship: occurs when the original researchers have been forced to include the name of a senior colleague due to the fear of his or her authority in the institution

Ghost authorship: the named author is not the actual author of the article.

9.1.1.3. The Acceptable Levels of the Similarity Index

The University of Gondar shall ensure that:

- All scholarly works for Postdoctoral, Postgraduate, Staff members and collaborators have an overall similarity index of not more than twenty percent (20%); unless otherwise stated for some disciplines considered exceptionally (
- Scholarly works for Staff and Postgraduate students shall have not more than a 2% single source similarity index.
- Scholarly works for Undergraduate students have an overall similarity index of not more than twenty-five percent (25%);
- Scholarly works for undergraduate degree students shall have not more than a 5% single source similarity index.

9.1.1.4. Detection and Disciplinary Measures of Plagiarism

For a piece of academic, scientific, or artistic work to be deemed plagiarized, it must meet one or more of the following criteria:

- The value or percentage indicated in the report of Anti-plagiarism software falls outside the standard range, leading to potential subsequent actions.
- The content in question may be either a partial or a complete replication of the original source material, encompassing ideas, text, figures, facts, tables, and direct quotations, lacking proper acknowledgment and citation.
- There are clear signals or claims, whether direct or indirect, made by the individual responsible for the plagiarism, suggesting ownership of the copied work.

- The deliberate intermingling of original ideas or texts without clear demarcation is observed, aiming to mislead readers into perceiving the plagiarized content as the perpetrator's own.

The penalties for acts of plagiarism shall be as prescribed in **Table 1**.

Table 1: Plagiarism Sanctions

S/Nº	Type of research misconduct	Classification of misconducts	Measures to be taken (one or more measures could be taken based on the severity of the misconduct)
1.	**Plagiarism** (Core works i.e abstract, summary, hypothesis, observations, results, conclusions and recommendations only and shall not have any similarities)	moderate	• If it is moderate (26-40% similarity Index), extensive revision shall be carried out to the minimum acceptance level and resubmit it.
		Major	• If moderate plagiarism is not rectified, his/her work shall be delayed for 6 months and compelled to resubmit the revised version of the work
		Major	• If it is severe plagiarism (more than 40% similarities), his/her scholarly works related proposal/projects/thesis/dissertation shall be totally rejected and delay for one year. After one year, he/she shall be allowed to do his/her thesis/project on a new research topic. If the new research work is also with moderate or severe plagiarism, there shall be an academic dismissal for good in life. • If the article is already published, it shall be retracted and the following penalties shall be considered.

			• If the student is academic staff of the university, his/her article shall be rejected for further promotion and scholarship. Moreover, his/her next academic promotion and further education shall be delayed for one year • If the student is nonacademic staff of the university, he/she shall be denied academic documents for one year • If he/she is not staff of the university, but he/she has completed his/her training and doesn't take any academic documents, he/she shall be denied his/her documents for one year. But, if he/she has completed the training and took his/her academic documents, he/she shall be compelled to give back his/her academic documents to the university

9.1.1.5. Procedure for Plagiarism Testing

The process for conducting a plagiarism examination will be conducted as outlined below:

(i) All staff members and students wishing to present their scholarly works shall file a Declaration of Originality Form; affirming that the scholarly work is free from plagiarism, signed by the concerned body/supervisors, and witnessed by the Head of the respective department/unit;

(ii) The Declaration of Originality Form and the scholarly work shall then be submitted to the respective body (Unit/Head of Department/Supervisor/Instructor/Director).

(iii) Both soft and hard copies of plagiarism results(clearance) for concept notes, proposals, seminar papers, research findings, research reports, manuscripts,

conference material, thesis/dissertations for assessment/examination shall further be forwarded to the relevant body;

9.1.1.6. Responsibility for Preventing Plagiarism

Responsibilities of the University

The University shall be responsible to:

- Raise awareness to the University Communities on the causes and consequences of plagiarism.
- Acquire, install, and update anti-plagiarism software and make it accessible to all engaged in teaching and research activities including students, researchers, staff, etc.
- Take appropriate action when there is detection of any plagiarism acts or cases reported from the colleges/schools/faculties/directorates.
- Put a system in place to ensure that all staff and students are adequately sensitized on plagiarism, its prevention, and detection.
- Allocate resources for sensitization training or awareness programs on using plagiarism detection tools and reference management tools organized every semester for students, faculties, researchers, and staff to promote academic integrity and ethics in conducting research, thesis, and dissertation.

Responsibilities of Research and Technology Transfer Vice President (RTTVP)

RTTVP shall be responsible for the following:

- Instruct and follow up with colleges/ faculties/ schools/ directorates/institutes to organize formal training and seminar programs for the staff and students in matters related to plagiarism such as factoring out plagiarism from the learning system, referencing systems adopted by the university, detection of plagiarism, investigation procedures and penalties.
- Ensure that representatives of the departments/units are trained on plagiarism and plagiarism software and comply with the plagiarism guidelines.
- Receive and document plagiarism-reported cases from the respective bodies.
- Follow up the implementation of anti-plagiarism guidelines and ensure that all stakeholders perform their responsibilities towards prevention, detection, and reporting of plagiarism and initiate revision and updating.

Responsibilities of Postgraduate Directorate

- Ensure that seminars, conference materials, theses and dissertations submitted for defense or presentation are subjected to plagiarism tests before being accepted.

Responsibilities of Colleges/Schools/Institutes/Directorates

The Colleges/Schools/Faculties/Institutes/Directorates shall be responsible to:

  - Organize training and seminars for all staff and students in their respective College/School/Institute on anti-plagiarism policies, procedures, and penalties to create awareness.
  - Prepare brochures and leaflets on plagiarism policy and penalties, and distribute them to all staff and students during their induction time.
- Select suitable referencing systems for the college (or for each department if required) and oversee the training given to both staff and students on its use.
- Follow up and ensure that monitoring and detection of plagiarism is done within the respective Departments/Units.
- Handle plagiarism cases reported from the respective body. If the case is beyond the scope of the College/School/Institute, the case shall be forwarded to the respective vice president office.

Responsibilities of Departments/Units

Department/Units shall be responsible to:

  - Ensure that scholarly writings of staff and students (research manuscripts, thesis, dissertation) are subjected to plagiarism test
  - Ensure that students and staff [are] adequately informed on the causes and consequences of plagiarism
  - Ensure that all academic works of the staff and students submitted for plagiarism tests are accompanied by the relevant declaration forms indicating his/her work is original and free from any plagiarism.
- Deal with plagiarism matters and take appropriate legal action based on the policy. If the case is beyond the scope of the department, the case shall be forwarded to the College/School/Institute.

Responsibilities of the Staff

The staff shall be responsible to:

- Know, understand and consistently apply the anti-plagiarism guideline and serve as a role model for students in the avoidance of plagiarism in their works.
- Make students aware of academic integrity and the serious consequences of plagiarism.
- Provide all students with adequate information about plagiarism causes and its consequences.
- Ensure a signed anti-plagiarism declaration of submitted academic works, including term papers, seminars, manuscripts, theses, and dissertations.
- Familiarize with the available Anti-Plagiarism Software and encourage students to use it to detect potential plagiarism before submission of their works.
- Supervisors are required to sit with their students and run the thesis, research paper, or project report through plagiarism software to guide any revisions that may be required as a result of this process. Supervisors must then sign relevant forms indicating that the student has indeed run their work through plagiarism detection software.
- Avoid re-using assessment tasks and set assignments/topics, which make it difficult for students to copy from past marked assignment scripts/reports or other sources.
- Document any instances of plagiarism when examining any work and ensure allegations of plagiarism are based on sound, well-documented evidence.
- Guide students on the use of sources and referencing on drafts of theses, dissertations, research articles, or assignments, and alert students to any improper use of sources, or lack of acknowledgment.

Responsibilities of Students

Students shall be responsible to:

- Ensure that all their scholarly works are not plagiarized.
- Read, understand and adhere to the University Anti-Plagiarism guideline to ensure academic integrity and avoid the serious consequences of academic dishonesty.
- Attach the signed declaration expressing the originality of their academic work that is submitted for assessment purposes.
- Attach the signed plagiarism report/certificate from the department for each academic work that is submitted for assessment purposes.

- Maintain academic integrity by acknowledging one's work and others' work honestly and appropriately.
- Utilize the anti-plagiarism software program identified by the University before submitting their work for assessment.

9.2. Technology Transfer Misconducts

Ethics of technology is a form of applied ethics focused on ethical issues involving technology that concern to society as a whole. Issues in ethics of technology are typically governed by values such as justice, autonomy, freedom, privacy, dignity, and general welfare. Technology transfer related misconducts are listed below;

Breach of privacy/confidentiality

Internet users consider privacy (security) to be one of the important issues. The usage of internet has grown explosively as fast internet connections get cheaper. However, a lot of the internet users are not aware of the fact that personal information may be revealed when they go online. According to law, one cannot pass someone else's private information to others. Thus, it is a known fact that companies take personal information collected on their websites and use it for telemarketing or sell it to another company

Inappropriate use of Artificial Intelligence (AI)

AI is meant to increase automation of low-level tasks in many situations so that human resources can be used on more strategic initiatives and complicated job duties. The large-scale elimination of jobs has many workers concerned about job security. Any scholarly work with more 25% AI augmentation should be subjected to plagiarism and thereby rejection.

Copyright violation

Copyright infringement occurs when someone uses another person's materials without permission. It is a form of protection the law provides to the authors of "original works of authorship" for their intellectual works that are "fixed in any tangible medium of expression," both published and unpublished. Examples of works that are protected by copyright include books, periodicals, software, musical or dramatic works, pictorial or other artistic works, and

audiovisual works. Copyright arises up on the creation of the work and includes a bundle of rights: the right to reproduce the work; the right to distribute copies of it; the right to prepare derivative works based on the work; and the right to make public performances or displays of the work.

Spamming/Hacking

Sending a large number of files through the network and causing the system to crash is "spamming", is an abuse of information technology**.** Hacking is an attempt to exploit a computer system or a private network inside a computer. it is the unauthorized access to or control over computer network security systems for some illicit purpose. They can destroy, steal or even prevent authorized users from accessing the system.

Misinformation and Deep Fakes

Manipulating video and audio to make it appear as something it is not new. Deep fakes are the product of artificial intelligence (AI) applications that merge, combine, replace, and superimpose images and video clips to create fake videos that appear authentic.

10. Community Engagement Misconducts

- Disrespecting the community values and norms: Community values and norms shall not be compromised while conducting community engagement projects.
- Discrimination of participants on the grounds of differences: Inclusion and exclusion of participants without any scientific justification.
- Misuse of project budget: spending the project budget without its intended purpose.
- Changing community engagement area and participants: Changing areas and/or participants without prior notification and scientific justification will be considered as misconduct.

Including and excluding investigators in the course of community engagement: Including and/or excluding investigators after the approval of the project without prior notification shall be considered as misconduct.

11. Data Sharing and Management Policy

Data sharing is the practice of making data used for scholarly research available to other investigators. Data sharing may also be restricted to protect institutions and scientists from use of

data for political purposes. Data and methods may be requested from an author years after publication.

Data sharing Frameworks

There is an ethical responsibility of data and information holders to share data and information in a safe, useful manner with actors who are in a position or have a responsibility to respond to issues raised. An environment of trust and the ways in which trust can be created, maintained, and enhanced requires working in a spirit and practice of trust, with a shared minimum approach to ensure good practice.

The trust statement will be a statement to which two parties will agree as an indication of their commitment to the Framework when sharing data. The statement may also extend to donors, who have the responsibility and leverage to enable data sharing and cooperation among stakeholders. Recognizing the benefits of sharing data in a responsible, safe, and purposeful manner to improve responses that promote safety, dignity, and the rights and capacities of affected populations and understanding the risks of sharing and not sharing, and the researcher commit to sharing and receiving data and information according to the humanitarian principles and in line with protection and information management [PIM] principles and respective organizational policies on the same. Equipped with the Framework for Data Sharing in Practice and will help to create an enabling environment that enhances coordination and collaboration within and beyond the humanitarian community for data sharing. If there has been a breach in trust established under the Framework, it is up to the stakeholders involved to understand why and the implications on the Framework. The Framework may need to be renegotiated based on the details of those terms, or it may no longer exist between the parties. This approach is outlined in the elements of the Framework below.

Protection and Information management (PIM): Principles summarizes the minimum shared principles that underlie and characterize the responsible handling, sharing, and use of data and information, regardless of their specific purposes, methods, or outputs (products)

Defined purpose: Given the sensitive and often personal nature of protection information, data and information activities must serve specific information needs and purposes. The purpose must be clearly defined and communicated; proportional to both the identified risk and benefit.
People-centered and inclusive: Data and information activities must be guided by the interests, well-being, and rights of the affected population and their hosts, which must participate and be included in all relevant phases. Activities must be sensitive to age, gender, and other issues of diversity.

Do no harm: Data and information activities must include a risk assessment and take steps, if necessary, to mitigate identified risks. The risk assessment must look at negative consequences that may result from data collection and subsequent actions or service delivery for as long as the data and information activity is carried out.
Informed consent and confidentiality: Personal information may be collected only after informed consent has been provided by the individual in question, and that individual must be aware of the purpose of the collection. Further, confidentiality must be clearly explained to the individual before the information may be collected.

Data responsibility, protection, and security: Data responsibility goes beyond data privacy and data protection. It entails a set of principles, purposes, and processes that seek to guide humanitarian work and leverage data to improve affected populations and their hosts' lives in a responsible manner while adhering to international standards of data protection and data security. Data and information activities must adhere to international, national and local laws and standards of data protection and data security. Persons of concern have a right to have their data protected according to data protection standards.

Competency and capacity: Actors engaging in data and information activities are accountable for ensuring that data and information activities are carried out by information management and protection staffs who have been equipped with data and information core competencies and have been trained appropriately.

Impartiality: All steps of the data and information cycle must be undertaken in an objective, impartial, and transparent manner while identifying and minimizing bias.

Coordination and collaboration: All actors implementing data and information activities must adhere to the principles noted above and promote the broadest collaboration and coordination of data and information internally between humanitarian actors and externally, with and among other stakeholders. To the extent possible, data and information activities must avoid the duplication of other data and information activities and instead build upon existing efforts and mechanisms.

Material Transfer Agreement (MTA): is a contract that governs the transfer of tangible research materials between two organizations when the recipient intends to use it for his or her own research purposes. The MTA defines the rights of the provider and the rights and obligations of the recipient with respect to the materials and any progeny, derivatives, or modifications. Biological materials, such as cell lines, plasmids, nucleotides, proteins, transgenic animals, plant varieties, bacteria, pharmaceuticals and vectors, are the most frequently transferred materials, but MTAs may also be used for other types of materials, such as chemical compounds, mouse models, and even some types of software. These agreements are typically only a few pages in length and address issues such as ownership of the transferred material and modifications and derivatives made by the recipient. They also may limit the use and further dissemination of the material by the recipient; address publication rights and confidentiality as well as rights to inventions and research results. Each and every MTAs (Incoming and ongoing) materials shall follow local, national and international laws and compliance with ethical standards.

Principles of data sharing policy:

Accountability

Data sharing within and between research institutes, academia and other agencies shall avoid duplication of efforts and wastage of time and public funds. Research institutes, academia, and agencies shall be accountable for timely uploading (submitting) of data to users on agreed format, and data maintenance.

Responsibility

The data generated with public funds shall be shared if sharing of data is not harmful to the public interest or the national interests, it shall be made readily accessible to all.

- All data sources shall assume formal responsibility to enable and promote data sharing. To facilitate data sharing, all the necessary process, teams and supporting technology shall be setup by the data sources.

Transparency

All health and health related data sources shall provide for sharing of data with respect to their internal working mandate, the process, contacts of important people and all the necessary procedures.

11.2. Protection of Data Privacy and Confidentiality

Data sources identify shareable data to be used for such purposes, with appropriate controls. Currently, Ethiopia does not have any national policy on data privacy; however, consent of the information originators needs to be taken before sharing their information.

- Data subject to privacy shall supersede the data sharing policy

A. Protection of Intellectual Property

- The data sources sharing the data shall protect the Intellectual property rights of both the organization and the individuals.
- The data sharing policy shall not bypass right to preserve the IPRs (Intellectual Property Rights) for the provided dataset and any changes to IPR policies for the data source mandate shall be carried out in accordance to the rules and regulations that govern the data sources operations.
- Material Transfer Agreement is put in place to protect the interests of both the data provider and the seeker. This shall improve equity of research data access.

11.3. Dissemination of Research Results and Transparency

The UoG staffs mus have significant insight into shared data and would usually be able to add value to publications utilizing the data in a Collection.

It would be expected that organization/hospital staff representative of the original study would be involved as a collaborator on studies resulting from the shared data and be offered co-authorship on resulting publications or presentations.

It may be appropriate to acknowledge members of the original study staff who have contributed directly to the original study in order that they may claim authorship as members of the study team.

Each paper to be submitted for publication by collaborators must be forwarded to the appropriate Custodian or Acting Custodian for consideration at least 28 days before submission.

11.4. Limits on Data Sharing

- Data must be managed and shared in a way that is fully consistent with the terms of the consent under which samples and data were provided by the research participants;
- Allow appropriate opportunity to exploit the dataset for additional pre-specified hypotheses, gain intellectual property protection or to the further development of a technology for public benefit;
- Protect against clear conflicts of interest, where analyses may be requested to support commercial aims rather than those related to the broader public good

11.4.1. Data ownership

- Primary data sources are owners of the primary data and shall be acknowledged by users and shall be encouraged and capacitated to take responsible of generating quality data
- Data collected for routine clinical care shall remain the property of the college/hospital.
- Data collected for research purpose by researchers shall remain the property of the researcher which generated/collected it for specified period.
- Access to data under this policy shall not be in violation of any acts and rules of the government of Ethiopia.
- Legal framework of this policy shall be aligned with various acts and rules covering the data.
- Data acquiring institute/school/department/unit or individual shall always cite the original data source and assume all responsibilities as to the use, analysis and interpretation of the data being provided.
- Once data has been provided, data sources shall not vouch for any analysis performed on the data, or for the quality of the data.

- All data being shared must ensure compliance to guidelines for legal, security, Intellectual Property Rights (IPR), copyright and privacy requirements.
- All biological data/material that is transported abroad shall follow the rules and regulations of the country.

11.4.2. Data Sharing Process

- The researcher may also need to obtain approval from the Research Ethics Committee responsible for the existing study.
- Where demand exceeds availability of staffing resources to make the data available, access will be prioritized based on scientific merit.
- Researchers will be required to cover the costs of administering the data sharing (including legal fees if applicable), retrieving, processing and sending the data. The estimated costs for a particular request will be provided after initial review of the application.
- Access to data in the Collection will only be permitted by application and only under a Data Sharing Agreement.

11.4.3. Eligibility

- The data sharing will be only for the purposes of health and medical research
- Researchers should be employees of a recognized academic institution, health service organization, and commercial research organization or from the pharmaceutical industry.
- The Researchers must not have a conflict of interest that may potentially influence their interpretation of any analyses. Researchers must declare all actual or potential conflicts of interest in relation to the requested dataset or to previous research conducted by the researchers.
- Researchers must also declare funding sources for the requested work for which the requested dataset will be used, and update the organization about subsequent funding sources that are secured after the data are shared with them. All such conflicts of interest and funding sources must also be declared in all publications and presentations resulting from the shared dataset. The organization reserves the right to refuse sharing its data in the face of potential adversarial conflicts of interest.

11.4.4. Terms of Sharing

- Researcher will be required to enter into a Data Sharing Agreement with the organization, which meets the organization's data sharing requirements.
- Supplied data must only be used for the purpose described in the Proposal as further stipulated in the Data Sharing Agreement.

11.4.5. Data sharing Methods

- Investigators sharing under their own auspices may securely send data to a requestor, or upload the data to their institutional website. Investigators should consider using a data-sharing agreement (see below) to impose appropriate limitations on the secondary use of the data.
- Investigators can share their data by transferring it to a data archive facility to distribute more widely to the scientific community, to maintain documentation and meet reporting requirements.
- Datasets that cannot be distributed to the general public due to confidentially concerns, or third-party licensing or use agreements that prohibit redistribution, can be accessed through a data enclave.
- A data enclave provides a controlled secure environment in which eligible researchers can perform analyses using restricted data resources.
- Investigators may wish to share their data by a combination of the above methods or in different versions, in order to control the level of access permitted.

11.4.6. Legal framework for health and health related data sharing in the country

- Any data sharing shall happen within the legal framework of MOH, Ethiopia, its proclamations, legislations and directives as well as the recognized international guidelines. According to Proclamation number 916/2008, Article 33 (3/11), MOH "directs, coordinates and follow up implementation of the country's health information system" and "provides appropriate support to promote research activities intended to provide solutions for the country's health problems and for improving health service delivery".

- It is imperative to prevent misuse of data and assure security, integrity and confidentiality of data.
- Objective of the legal framework is to ensure that the privacy, confidentiality, intellectual property rights and the associated security requirements are formally protected.
- The data owner shall sign a Memorandum of Understanding or Agreement (MoU/ MoA with users or repository the terms of the arrangement and treatment of the data so that confidentiality is not compromised during the process of sharing.
- The MoU shall consider the information security and privacy during data storage, data handling/processing, data transmission or data destroying/disposing, data destroy/dispose.

Incoming Material Transfer Agreement (MTA)

An incoming MTA protects a researcher's ability to use and publish research, any existing and potential intellectual property and define the use of any accompanying confidential information. The review of an incoming MTA ensures the agreement terms do not conflict with rights granted in other agreements associated with the research.

Outgoing Material Transfer Agreement (MTA)

MTAs for outgoing material typically prevent the material provider from losing control over the material and its research use. If no agreement exists, then the recipient of the material has no legal restrictions on the use of the material, or on transferring the material.

12. Procedures for Misconduct Investigation and Management

12.1. Misconduct investigation procedures

Article 1: Reporting research misconduct allegations

1. Any person/group of persons with vested interest shall report/lodge allegations of research misconduct to the office of Vice President for Research and Technology Transfer in writing or any other means
2. The Vice President shall undertake initial review on the alleged research/TT/Community engagement misconduct to determine whether there is sufficient substance to allegation within 7working days of receipt of the report
3. The vice president may call and/or question the complainant (s) and the respondent(s) during the initial review of the alleged research misconduct for additional inquiry

4. If the Vice President determines that the allegation lacks sufficient substance, he/she shall close the matter and notify the complainant (s) and the respondent(s) in writing or any other means
5. If the vice president determines that the allegation has sufficient substance to warrant formal investigation, he/she shall appoint an investigation committee

Article 2: Investigation Committee

1. The Office of Vice President for Research and Technology Transfer shall appoint Ad Hoc Investigation Committee to investigate an alleged research/TT/Community Engagement misconduct
2. The vice president shall appoint members of the Investigation Committee on the basis of pertinent experience, absence of personal, professional, or financial conflict of interest with the complainant(s), respondent(s) and others involved in the alleged misconduct
3. Any member of the Investigation Committee who may potentially demonstrate any kind of bias due to conflict of interest under sub-article 2 shall be disqualified from membership of the Investigation Committee
4. The committee shall have chairperson and rapporteur/secretary/

Article 3: Powers and responsibilities of the Committee

1. The chairperson and the rapporteur shall organize meetings immediately after the appointment of the Committee;
2. The committee shall discharge its tasks effectively, transparently, responsibly and diligently;
3. It shall serve the copy of the charge to the respondent stating the time, place and date of hearing in 5 working days before the date of hearing. The charge shall be served to the respondent, to his/her delegate in the absence of the two; other forms of notice which the Committee deems appropriate shall be employed
4. It shall pass decisions if the respondent, after being duly served of the charge, fails to appear without any justifiable reason on the date of hearing
5. It shall carry out proper review of all the relevant evidences related with the alleged misconduct;
6. It shall serve summons to all witnesses named by the complainant and the respondent stating the time, place and date of hearing in 2 working days before the date of hearing

7. It shall maintain proper recordings of the meetings including witness interviews
8. It shall organize and submit the report together with its recommendations to the vice president for research and community services within 20 working days of its appointment
9. A simple majority of the committee shall constitute quorum;
10. If the quorum is not attained in the first meeting, a second meeting shall be called for the same agenda and decision may be made regardless of the quorum present;
11. Decision of the Committee shall be passed by a simple majority vote (50% plus 1) of the voting members present and in case of a tie, the chairperson shall have a casting vote. The opinion of a dissenting member shall be included as part of decision of the committee

Article 4: Statement of defense and production of Evidence

1. The respondent may come up with a written statement of defense addressed to the investigation committee specifying how he/she claims not to be responsible for the alleged research misconduct
2. If a written statement of defense is produced, he/she has to specifically reply whether to admit or deny the allegation;
3. The statement of defense shall include all relevant evidences supporting the arguments by the respondent;
4. When the statement of defense is only presented orally, it has to be recorded by the investigation committee;
5. The complainant and members of the investigation committee can examine the defense witnesses to avail the truth;
6. Documentary evidences adduced by the accused shall be authenticated by chairperson of the disciplinary committee;

Article 5: Investigation Report and Recommendation

1. When the investigation is completed, the investigation committee shall prepare the report and submit it to the vice president for research and technology transfer. The investigation report, among others, shall:
    a) Describe the nature of the allegations of research misconduct;

b) Describe the specific allegations of research misconduct considered in the investigation;
c) Identify and summarize the research record and evidence;
d) Provide a finding as to whether or not research misconduct was committed, and if misconduct was found, identify it as falsification, fabrication, plagiarism or other and determine whether it was intentional, or negligence;
e) Summarize the facts and the analysis supporting the conclusion; and
f) Offer recommendations with respect to disciplinary sanctions, if any.

2. The Vice President for Research and technology transfer may endorses, remand or amend the recommendation of the Committee offered under sub article 1(f) above.
3. Any party dissatisfied with the decision of the Committee endorsed by the Vice President for Research and Technology Transfer may lodge an appeal to the President of the University

Article 6: Appeal

1. Any party dissatisfied with the decision of the Investigative Committee endorsed by the Vice president for research and community services may appeal against such decision to office of the president of the University within 10 working days of receiving notification of such decision
2. The appellant shall submit a written statement clearly stating the basis for appeal to the office of the president
3. The President shall appoint an appeal committee none of whom were members of the investigation committee
4. The committee shall give its decision upon examining the pleading and evidence of the parties and considering this guideline as well as other relevant legislations.
5. Any decision of the committee shall be passed by a majority vote. The opinion of a dissenting member shall be included as part of decision of the committee.
6. The appeal committee shall submit the appeal report along with its recommendations within 15 working days of the date the appeal was raised to the office of the president
7. The President, on the basis of the appeal report, may endorse, amend or reverse the conclusions of the investigation and/or sanctions imposed on the respondent

8. The President shall notify the respondent in writing of the outcome of the appeal and shall provide a copy of the appeal report and evidence considered by the Appeal Committee
9. The decision of the President shall be final with no further right of internal appeal

12.2. Disciplinary Measures/Sanctions

Article 7: Type and classification of academic, research, TT and community engagement misconducts and measures to be taken against staff, researchers and students

S/N^{o}	Type of research misconduct	Classification of misconducts	Measures to be taken (one or more measures could be taken based on the severity of the misconduct)
2.	Conducting research without ethical clearance from authorized body	Major	• If there is no harm on the study participants, the research topic shall be changed and deferred • If there is minor harm on the study participants, there shall be academic dismissal for one year and conduct thesis/project on different research topic • If there is severe harm and /or death on study participants, there shall be academic dismissal for good and report to the legal affairs of the University
3.	Gathering data without informed consent/assent	Major	• If the study is observational and noninvasive, he/she shall be enforced to re-collect data with informed consent • If the data is biological sample or personally sensitive, the student shall be academically dismissed for one year and conduct thesis/project on different research topic • If there is severe harm and /or death on study participants, there shall be academic dismissal

			for good and report to the legal affairs of the University
4.	Sharing or receiving research data without ethical approval and/or a signed Material Transfer Agreement/Data transfer agreement.	Major	• If the case is happened before completing his/her study, thesis/project defense shall be delayed for 6 months. • If the case is happened after completing his/her study, the official degree and transcript shall be suspended for 1 year • He/she shall be ordered not to publish the report • If it is already published, the article shall be retracted and shall not use for promotion and scholarship for his/her future education
5.	Failure to submit mandatory research progress reports to authorized body (advisors, department, Institute, research office, vice research president etc) after taking ethical clearance as per the training program schedule	Minor	• Delay his/her thesis/project defense for 3 months • If the evaluation is completed, refuse clearance or any testimony or hold temporary degree until he/she submit the final research report • Compel him/her to return the thesis/project fund and notify to the sponsoring organization
6.	Failure to uphold and disclose the confidentiality to research participants' information including informed consent documents	Minor	• If the information is not sensitive, written warning to him/her • If the information is sensitive, delay his/her thesis/project defense for 3 months and compel him/her to keep anonymity
7.	Failure to report deviations from the approved protocol procedure(s) made without the approval of the IRB.	Major	• If a student changes or includes or excludes study areas without any scientific merits and prior notification to the concerned body, he/she shall be compelled to re-collect data

			from the original study areas. • If a student changes or includes or excludes the study participants without prior notification to the concerned body, the collected data shall be rejected and he/she shall be compelled to re-write his/her thesis as per the ethical approval. • If it results harm on study participants, there shall be academic dismissal for good and report to the University legal affairs. • If a student changes or includes or excludes any procedures or techniques or research topic without scientific and ethical justification and prior notification to the concerned body, his/her thesis shall be rejected and he/she shall be compelled to do another research on different research topic
8.	Forgery of IRB documents (e.g., alteration of approval letter/certificate; Material/Data Transfer Agreement, etc).	Major	• If there is any manipulation of the official documents and if the student has not completed his/her study, the thesis/project defense shall be delayed for 6 months; • If there is any manipulation of the official documents and the student has completed his/her study but doesn't take any academic document, the thesis/project shall be delayed and he/she shall be compelled to do another research on different research topic • If there is any manipulation of the official documents and if the student has completed his/her study and took academic documents,

			he/she shall be denied his/her official degree and transcript for 1 year
9.	**Falsification** (Manipulating research materials, equipment or processes, or changing or omitting or suppressing data or results without scientific or statistical justification).	Major	• If a student has used falsified data for his/her thesis/project, his/her thesis/project shall be delayed and compelled to do another research on different topic after one year
10.	Fabrication (cooking data or result)	Major	• If a staff commits fabrication but has not finished his/her training, he/she shall be academically dismissed from the program and deny him/her to re-join any training program in the University for life • If he/she has completed his/her training and doesn't take any academic documents, he/she shall be denied his/her academic documents for life • If he/she has completed his/her training and took his/her academic documents, he/she shall be compelled to give back his/her documents to the university • If he/she has not published the report, he/she shall be denied to publish/present the report anywhere. However, if it has already been published, the article shall be retracted from the journal.
11.	**Unethical authorship practices** (such as guest author, gift authorship, pressured authorship, ghost authorship, honorary	Major	• Unethical author(s) and the PI(s) or correspondence author(s) shall not have any right to use the article for any purpose. • If the student is an academic staff of the

	authorship etc)		university, his/her next academic promotion shall be delayed for one year • If the student is nonacademic staff of the university, he/she shall be denied his/her academic documents for one year • If the article is already published it shall be retracted.
12.	**Conflict of interest**: failure to include author (s) from publication	Major	• The article shall be retracted and republish by including an already excluded author. • If the student is an academic staff of the university, his/her next academic promotion shall be delayed for one year • If the student is nonacademic staff of the University or non-staff of the university, he/she shall be denied his/her academic documents for one year
13.	**Conflict of interest**: authorship order disputes	Minor	• The order of authors shall be rectified as per their contributions. If it is not rectified by the PI (s) and the authors, the article shall be retracted. It shall be republished by rectifying the agreed order authors.
14.	**Conflict of interest**: publishing an article without authors approval	Minor	• Delay his/her academic promotion for 6 months • If the student is nonacademic staff of the university or not staff of the University, his/her academic documents and shall be suspended for 6 months
15.	Failure to disclose conflict of interest (financial, professional, contractual,	Major	• If the student is an academic staff of the University, his/her review recommendations including evaluation result shall be

	personal etc…)		disregarded. • His/her thesis defense and academic documents shall be suspended for 6 months
16.	**Plagiarism** (Core works i.e abstract, summary, hypothesis, observations, results, conclusions and recommendations only and shall not have any similarities)	moderate	• If it is moderate (26-40% similarity Index), extensive revision shall be carried out to the minimum acceptance level and resubmit it.
		Major	• If moderate plagiarism is not rectified, his/her work shall be delayed for 6 months and compelled to resubmit the revised version of the work
		Major	• If it is severe plagiarism (more than 40% similarities), his/her scholarly works related proposal/projects/thesis/dissertation shall be totally rejected and delay for one year. After one year, he/she shall be allowed to do his/her thesis/project on a new research topic. If the new research work is also with moderate or severe plagiarism, there shall be an academic dismissal for good in life. • If the article is already published, it shall be retracted and the following penalties shall be considered. • If the student is academic staff of the university, his/her article shall be rejected for further promotion and scholarship. Moreover, his/her next academic promotion and further education shall be delayed for one year • If the student is nonacademic staff of the

			university, he/she shall be denied academic documents for one year • If he/she is not staff of the university, but he/she has completed his/her training and doesn't take any academic documents, he/she shall be denied his/her documents for one year. But, if he/she has completed the training and took his/her academic documents, he/she shall be compelled to give back his/her academic documents to the university
17.	**Redundant publication (**self-plagiarism, duplicate publication**)**	Major	• Retract the articles. • If the student is academic staff of the University, his/her article shall be rejected for further promotion and scholarship. Moreover, his/her next promotion shall be delayed for one year • If the student is nonacademic staff of the University, he/she shall be denied any academic documents (degree and transcript) for one year • If he/she has completed his/her training and didn't take any academic document, he/she shall be denied his/her documents for one year
18.	Simultaneous submission to different journals	Minor	• Withdraw the manuscript which is extension of thesis work • If the student is academic staff of the university, his/her article shall be rejected for further promotion and scholarship.

			Moreover, his/her next academic promotion shall be delayed for one year • If the student is nonacademic staff of the university, he/she shall be denied his/her academic documents (degree and transcript) for one year • If he/she is not staff of the university but he/she has completed his/her training and didn't take any academic documents, he/she shall be denied such documents for one year.
19.	Misrepresentation (of qualification, data, experience etc..)	Minor	• If the student commits misrepresentation of (qualification, data, experience etc), his/her thesis defense shall be delayed for six months.

Article 8: Type and classification of research misconducts and measures to be taken against academic staff

S/N⁰	**Type of research misconduct**	**Classification of misconducts**	**Measures to be taken (one or more measures could be taken based on the severity of the misconduct)**
1.	Conducting research without ethical clearance from authorized body	Major	• If the research is ongoing, he/she shall be compelled to stop the research process • If the research is completed but not published, he/she shall be denied publication and presentation at any conference/workshop…etc. • If the research is already published, it shall be retracted • Oral warning shall be given, but if it is repeated, written warning shall be issued

			and filed with his/her personal file • Delay any research project grant for one year • If the research has severely endangered the study participants, he/she shall be dismissed from his/her job and refer to University legal affairs
2.	Gathering data without informed consent/assent	Major	• If the study is observational and noninvasive, he/she shall be compelled to re-collect data with informed consent or stop the research process • If the data is biological sample or personally sensitive, he/she shall stop the research process and compel him/her to refrain from conducting and advising any research works, denying teaching postgraduate class whenever applicable for one year. • Delay his/her promotion for one year • If there is severe harm on study participants, he/she shall be dismissed from his/her job and refer to University legal affairs
3.	Sharing or receiving research data without ethical approval and/or a signed Material Transfer Agreement/Data transfer agreement	Major	• If the research is ongoing research, he/she shall refrain from publishing the manuscript • If the article has been already published, it shall be retracted and shall not be used for promotion and/or scholarship for his/her future education

			• Delay his/her academic promotion for one year
4.	Using secondary data or online database like DHS datasets without ethical approval from authorized body	Minor	• The researcher shall secure ethical clearance from University of Gondar IRB and other accredited institution if applicable. • If the research is ongoing research, he/she shall refrain from publishing the manuscript • If the article is already published, it shall be retracted and shall not be used for academic promotion and/or scholarship for his/her future education
5.	Failure to uphold and disclose the confidentiality of research participants' information including informed consent documents	Major	• If the information is sensitive, he/she shall be given written warning, and he/she shall not publish the manuscript and shall not present it at any conference/workshop …etc. • If the article has been already published, it shall be retracted and shall not be used for academic promotion and/or scholarship for his/her future education
6.	Failure to report deviations from the approved protocol procedure(s) made without the agreement of the IRB that approved the protocol	Major	• If the staff changes or includes or excludes study areas without any scientific merits and prior notification to the concerned body, he/she shall be compelled to re-collect data from the original study areas. • If the staff changes or includes or excludes the study participants without

			prior notification to the concerned body, the collected data shall be rejected and he/she shall be compelled to do the research work again as per the ethical approval. But if it has resulted harm on study participants, he/she shall be dismissed from his/her job and report to the University legal affairs. • If the staff changes or includes or excludes any procedures or techniques or research topic without scientific and ethical justification, without notifying to the concerned body, his/her research project shall be rejected. But if it has resulted harm on study participants, he/she shall be dismissed from his/her job and report to the University legal affairs. • Delay his/her academic promotion for one year
7.	Forgery of IRB documents (e.g., alteration of approval letter/certificate; Material/Data Transfer Agreement, etc).	Major	• If there is any manipulation of the official documents and if the study is not completed, he/she shall be compelled to stop the research process • If there is any manipulation of the official documents and if the staff has completed his/her study, he/she shall not publish or present it at any conference or workshop…etc. • If the article is already published, it shall be retracted

			• Delay his/her academic promotion for two years • Suspend him/her from thesis examination assignment for two years • If he/she repeats such research misconduct, he/she shall be dismissed from his/her job and refer to University legal affairs.
8.	**Falsification** (Manipulating research materials, equipment or processes, or changing or omitting or suppressing data or results)	Major	• If the staff used falsified data for his/her research work, he/she shall be suspended from academic promotion for 2 years • If it is not published, he/she shall be compelled to stop publishing or present at any conference or workshop at all • If the article is published, he/she shall be compelled to retract it and not to use it for promotion and scholarship purpose • Delay his/her scholarship for two years • Suspend him/her from thesis examination assignment for two years • If he/she repeats such research misconduct, he/she shall be dismissed from his/her job and refer to University legal affairs.
9.	**Fabrication (cooking data or result)**	Major	• If the staff used falsified data for his/her research work, his/her promotion shall be delayed for 3 years • If the article is not published, he/she shall be compelled to stop publishing or presenting it at any conference or

			workshop at all. • If it is published, he/she shall be compelled to retract it and not to use it for promotion and scholarship purpose • Delay his/her scholarship for 3 years • Suspend him/her from thesis examination assignment for 3 years • If he/she repeats such research misconduct, he/she shall be dismissed from his/her job and refer to University legal affairs.
10.	**Unethical authorship practices** (such as guest author, gift authorship, pressured authorship, ghost authorship, honorary authorship etc)	Major	• Unethical authors and the PI or the corresponding author should not have any right to use the article for any purpose. • Delay his/her (the PI or correspondence author) next academic promotion for two years • Delay his/her scholarship for two years upon request. • Suspend him/her from thesis advisor-ship or research methods course assignment for two years. • Suspend him/her from thesis examination assignment for two years. • If he/she repeats such research misconduct, he/she shall be dismissed from his/her job and refer to University legal affairs.
11.	**Conflict of interest**: failure to	Major	• The article shall be retracted or the

	include author/s from publication		excluded author/s should be included. • Delay his/her (correspondence author) next academic promotion fortwo years. • Delay his/her scholarship for two years. • Suspend him/her from thesis examination assignment for two years. • Suspend him/her from any project application (as PI or CI) for two years.
12.	**Conflict of interest**: authors order disputes	Minor	• The order of authors shall be rectified as per their contributions • If it is not rectified by the PI and the authors, the article shall be retracted and re-published by rectifying the agreed order of authors.
13.	**Conflict of interest**: publishing an article without authors approval	Minor	• Oral warning shall be given • If he/she repeats such research misconduct, he/she shall be given written warning • Delay his/her academic promotion for 6 months
14.	**Failure to disclose conflict of interest (**financial, professional, contractual, personal etc…)	Major	• The reviewers' recommendation like evaluation result shall be disregarded. • The reviewer shall be suspended for the future review of similar activities for two years. • The reviewer shall be suspended from promotion for two years.

15.	**Plagiarism** (Core works i.e. abstract, summary, hypothesis, observations, results, conclusions and recommendations only and shall not have any similarities)	Moderate	• If it is moderate (26-40% similarity Index), extensive revision shall be carried out to the minimum acceptance level and resubmit it.
		Major	• If moderate plagiarism is not rectified, his/her work shall be delayed for 6 months and compelled to resubmit the revised version of the work • If it is severe plagiarism (more than 40% similarities), his/her scholarly works related proposal/projects/thesis/dissertation shall be totally rejected and delay for one year. After one year, he/she shall be allowed to do his/her thesis/project on a new research topic. If the new research work is also with moderate or severe plagiarism, there shall be an academic dismissal for good in life. • If the article is already published, it shall be retracted and the following penalties shall be considered. • If the student is academic staff of the university, his/her article shall be rejected for further promotion and scholarship. Moreover, his/her next academic promotion and further education shall be delayed for one year • If the student is nonacademic staff of the university, he/she shall be denied

			academic documents for one year • If he/she is not staff of the university, but he/she has completed his/her training and doesn't take any academic documents, he/she shall be denied his/her documents for one year. But, if he/she has completed the training and took his/her academic documents, he/she shall be compelled to give back his/her academic documents to the university
16.	**Redundant publication** **(**Self-plagiarism, duplicate publication and others**)**	Major	• Retract articles. • Reject all the articles for further promotion and scholarship. • Delay next promotion and scholarship for two years • Suspend him/her from thesis examination assignment for two years. • Suspend him/her from any project application (as PI or CI) for two years • If he/she repeats such misconduct, he/she shall be dismissed from his/her job and refer to the University legal affairs.
17.	Simultaneous submission to different journals	Minor	• Retract the second manuscript • Oral warning shall be given • If he/she repeats such research misconduct, written warning shall be given
18.	Misrepresentation (of	Minor	• If the staff commits misrepresentation of

	qualification, data, experience etc..)		(qualification, data, experience etc), his/her promotion shall be delayed for one year • If he/she published articles with misrepresentation of data the articles shall be retracted.
19.	Misuse of project budget	Major	• The project shall be suspended and further investigation shall be conducted. • If misuse of the project budget is proved, the project shall be terminated and the budget shall be refunded with all interest to the University. • The PI and Co-PI shall be suspended for three years in similar projects. • The remaining CI's shall be suspended for one year if they failed reporting to the concerned body. • If the project is externally funded and is misused, the PI shall be suspended for three years in consultation with the funder.
20.	Violation of Intellectual property (IP) rights (Patent, Copyrights, trade mark etc..)	Major	• Staffs who infringe IP right of others without prior permission shall be given written warning and he/she shall correct the misconduct. • He/she shall be suspended for two years in any project work. • Retract published right. • Reject all the articles for further promotion and scholarship.

			• If he/she repeats such misconduct, he/she shall be dismissed from the University and refer to the University legal affairs.
21.	Inappropriate ICT services and resource utilization (Institutional website/email and others)	Major	• A staff member who inappropriately uses ICT services and resources shall be given written warning. • He/she shall be suspended for two years in any project work. • If he/she repeats such misconduct, he/she shall be dismissed from the University and refer to the University legal affairs.
22.	Disrespecting the community values and norms	Major	• A staff member who disrespects the community values and norms shall be given written warning. • His/her community service /TT/research projects shall not be used for promotion purpose. • He/she shall be suspended for one year in any project work. • If he/she repeats such misconduct, he/she shall be dismissed from the University and refer to the University legal affairs

13.Protocol Renewal

For funded research projects, researcher may acquire yearly ethics protocol renewal.

14. Effective date

This guideline will be effective as of the Senate approval of the University of Gondar

15. Amendment

This guideline will be subjected for amendment as required.

14. Reference

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15. Annexes

Post Graduate Student in Applying for an Ethical Clearance of the Research Protocol

1. Research Proposal submitting format for ethical issues to be fulfilled by College of Natural and Computational Sciences Post Graduate Student in applying for an ethical clearance of the Research Protocol

1. **Title page:** concise title of the project; investigators (student and his/her supervisor) list with their departments; and to whom it has been submitted with date.
2. **Structured summary**
   - ✓ Background, Objectives, Methods and materials, budget and work plan.
   - ✓ The number of words should be 200-300 (Department specific)

3. **Introduction: Background**

- Background of core problem
- Provide relevant background information to give reader a decent foundational understanding of your research area
- It should not be more than 1-2 pages

4. **Statement of the problem**
   - should narrate the real presence of the problem
   - briefly state global and local evidences that convince the selected title needs research
   - guide the researcher towards developing objectives of the research
   - Briefly describe the identified gaps that intended to be filled
   - It should be less than 1 page

5. **Rationale of the study**

Only brief summary of the rationale of the study

- It should be 1/2 page

6. **Objective**

Objectives (General and SMART specific objectives) of the study or hypothesis or research question

- It should be 1/2 page

7. Methods and materials

Detail explanation the planned method for achieving the research objective

- Study design;
- description of the study area and setting;
- source and description of study population with eligibility criteria;
- Data collection method (type and source)
- Sampling methods, sample size and procedure;
- Variables (outcome and explanatory) with operational definitions;
- Participant inclusion/exclusion criteria
- Validation of the method,
- Data quality assurance;
- Planned data analysis technique
- It should be 2-3 page

8. Inclusion of the four component of research ethics (Should be annexed with informed consent and proposed questionnaire/interview)

The ethics component of the research protocol shall include:-

i. Authorization
ii. Autonomy
iii. Confidentiality
iv. Beneficence/ non-malnificence
v. Justice

9. Dissemination plan

Clearly mention to how to disseminate the findings (eg. Policy briefings, publications…. Etc)

- Policy briefings, publications for intellectuals, academicians etc
- Oral and poster presentations for others

10. Work plan and budget breakdown

- Work plan
  - ✓ Preferably use a Gant chart or clearly summarize the duration of the research project
- Budget breakdown
  - ✓ Clearly show the personnel, stationary and transportation related budgets

11. References (should be flexible)

- Use a VANCOUVER, Harvard, MLA, APA, Chicago, etc reference style
- Better to use reference manager like EndNote, Medley, Zotero, BibTex, RefMan, RefWorks or any other

2. College of Agriculture and Environmental Science Post Graduate Students' in Applying for an Ethical Clearance of a Research Protocol

1. Title page: concise title of the project; investigators (student and his/her advisors) list with their departments; and to whom it has been submitted with date.

2. Structured summary/abstract that includes background, Objectives, Methods/methodologies and materials, budget breakdown and work plan.

3. Introduction

- Background of the study (sufficient information)
- Problem statement /Rationale of the study
- Significant of the study
- Scope and limitations

4. Objective

- Objectives of the study: SMART
- Clear hypothesis or research question

5. Methods and materials

Detail explanation the planned method for achieving the research objective

Study area, study population with eligibility criteria, source and data collection methods, sample size determination and sampling procedure, data analysis techniques (laboratory and econometric models), hypothesize variables (outcome/dependent and explanatory) with operational definitions, data quality assurance

6. Inclusion of the basic component of research ethics

The ethics component of the research protocol shall include:-

vi. Authorization
vii. Autonomy
viii. Confidentiality
ix. Beneficence/ non-malnificence
x. Justice

7. Dissemination plan

Clearly mention to how to disseminate the findings (eg. Policy briefings, publications…. Etc)

8. Work plan and budget breakdown

- Work plan
  - ✓ Preferably use a Gant chart or clearly summarize the duration of the research project
- Budget breakdown
  - ✓ Clearly show the laboratory, personnel, stationary and transportation and other related budgets

9. References

- Use a VANCOUVER reference style
- Better to use reference manager like APA (American Psychological Association), MLA (Modern Language Association), Chicago or any other

3. College of Social Sciences and Humanities, Ethics review submission form

Ethics Review Application Form for Supervised & Sponsored Researchers

Section A – General Information

1. Title of Research Project

2. Investigator's Information

Investigator:

Title (e.g., Dr., Ms., etc.):	Name:
Department (or organization if not affiliated with U of G):	
Mailing address:	
Phone:	e-mail:

3. Level of Project:

Student Research:	Doctoral ☐	Masters ☐
Visiting professor/External researcher ☐		Course Based ☐
CBR ☐	Other ☐ (specify:)	

Supervisor

Title:	Name:
Department:	
Mailing address:	
Phone:	Institutional e-mail:

Co-Investigators:

Are co-investigators involved? Yes ☐ No ☐

Title:	Name:
Department (or organization if not affiliated with U of G):	
Mailing address:	
Phone:	Institutional e-mail:

Title:	Name:
Department (or organization if not affiliated with U of G):	
Mailing address:	
Phone:	Institutional e-mail:

Please append additional pages with co-investigators' names if necessary.

3. University of Gondar Institutional Review Board:

Social Sciences and Humanities and Education ☐ College Review Committee ☐

4. Location (s) Where the Research will be Conducted:

(a) If the research is to be conducted at a site requiring administrative approval/consent (e.g., in a school), please include all administrative consent letters. It is the responsibility of the researcher to determine what other means of approval are required, and to obtain approval prior to starting the project.

University of Gondar ☐

Hospital ☐ specify site(s) ……

School or Kebele or Church ☐ specify site(s) ……

Identify the name and location …….

(b) Off-campus research: consult the health and safety guideline of the University of Gondar prior to embarking on off-campus research.

(c) The University of Gondar has an agreement with its Teaching hospitals regarding ethics review of hospital-based research in which the University plays a vital role.

5. Other Research Ethics Board Approval

(a) Does the research involve another institution or site? Yes ☐ No ☐

(b) Has any other IRB approved this project? Yes ☐ No ☐

If **yes**, please provide a copy of the approval letter upon submission of this application.

If **No**, will any other IRB be asked for approval?

Yes ☐ (please specify which IRB) No ☐

6. Funding of the Project

(a)

Funding Status	Source and Type	Details/Amount
Funded ☐	organization:	
	organization:	
Applied for funding ☐	organization:	Submission date:
	organization	Submission date:
Unfunded ☐		

7. Contracts and Agreements

(a) Is this research to be carried out as a contract or under a research agreement? Yes ☐ No ☐

If yes, is there a University of Gondar funding or non-funded agreement associated with the research? Yes ☐ No ☐

If **yes,** please append a copy of the agreement with of this application.

Is there any aspect of the contract that could put any member of the research team in a potential conflict of interest? Yes ☐ No ☐

If yes, please elaborate under #7.

(b) Is this a ministry of Health regulated clinical trial that involves drugs, devices, or natural health products?

Yes ☐ No ☐ (if so, the application must be reviewed by the full board)

Is criminal going to involve in the study?

If yes, is deception going to be used?

If deception is employed, how would you make your study ethical?

8. Project Start and End Dates

Estimated start date for the component of this project that involves human participants or data:

Estimated completion date of involvement of human participants or data for this project:

9. Scholarly Review:

(a) Please check one:

I. ☐ The research has undergone scholarly review by thesis committee, departmental review committee, peer review committee or some other equivalent (Specify review type – e.g., departmental research committee, supervisor

II. ☐ The research will undergo scholarly review prior to funding
(Specify review committee – e.g., SSHE or HS Research Council.

III. ☐ The research will not undergo scholarly review (Please note that all research greater than minimal risk requires scholarly review)

(b) If box I or II above was checked, please specify if:

☐ The review was/will be specific to this application

☐ The review was/will be part of a larger grant

10. Conflicts of Interest

(a) Will the researcher(s), members of the research team, and/or their partners, or immediate family members:

(i) Receive any personal benefits (e.g., financial benefit such as remuneration, intellectual

property rights, rights of employment, consultancies, board membership, share ownership, options, etc.) as a result of or in connection with this study? Yes ☐ No ☐

(ii) If **yes**, please provide further details and discuss how any real, potential or perceived conflicts of interest will be managed in the project.

(b) Describe any restrictions regarding access to or disclosure of information (during or at the end of the study) that have been placed on the investigator(s). These restrictions include controls placed by the sponsor, funding body, advisory, or steering committee.

(c) Where relevant, please explain any pre-existing relationship between the researcher(s) and the researched (e.g., instructor-student; manager-employee; clinician-patient; priest-congregant). Please pay special attention to relationships in which there may be a power differential – actual or perceived.

Section B – Summary of the Proposed Research

11. Rationale

Describe the purpose and scholarly rationale for the proposed project. State the hypotheses/research questions to be examined. The rationale for doing the study must be clear. Please include references in this section.

12. Methods

(a) Please describe all formal and informal procedures to be used. Describe the data to be collected, where and how they will be obtained, and how they will be analysed.

(b) Attach a copy of all questionnaires, interview guides and/or any other instruments.

(c) Include a **list of appendices** here for all additional materials submitted (e.g., Appendix A – Informed Consent; Appendix B – Interview Guide, etc.):

13. Participants, Data

(a) Describe participants to be recruited, list the eligibility criteria, and indicate the estimated sample size (i.e., min-max # of participants). Where applicable, please provide a rationale for your choice in sample size and/or sample size calculation.

(b) Where the research involves extraction or collection of personally identifiable information, please describe the purpose, from whom the information will be obtained, what it will include, and how permission to access the data is being sought.

(c) Is there any group or individual-level vulnerability related to the research that needs to be mitigated (for example, difficulties understanding informed consent, history of exploitation by researchers, power differential between the researcher and the potential participant)? If so, please provide further details below.

(d) If your research involves the collection and/or use of biological materials (e.g., blood, saliva, urine, teeth, etc.), please provide details below. Be sure to indicate how the samples will be collected and by whom.

14. Experience of Investigators with this type of Research

(a) Please provide a brief description of previous experience by (i) the principal investigator/supervisor or sponsor, (ii) the research team and (iii) the people who will have direct contact with the participants. If there has not been previous experience with this type of research, please describe how the principal investigator/research team will be prepared.

15. Recruitment of Participants

Where there is recruitment, please describe how, by whom, and from where the participants will be recruited. Where participant observation is to be used, please explain the form of insertion of the researcher into the research setting (e.g., living in a community, visiting on a bi-weekly basis, attending organized functions). If relevant, describe any translation of recruitment materials, how this will occur, and whether or not those people responsible for recruitment will speak the language of the participants.

Attach a copy of all posters, advertisements, flyers, letters, e-mail text, or telephone scripts to be used for recruitment as appendices.

16.*Compensation*

please see U of G's Compensation and Reimbursement Guidelines (if applicable)

(a) Will participants receive honorarium for participation?

Financial	Yes ☐	No ☐
In-kind	Yes ☐	No ☐
Other	Yes ☐	No ☐

(b) If **yes**, please provide details and justification for the amount or the value of the compensation offered.

(c) If **No**, please explain why compensation is not possible or appropriate.

(d) Where there is a withdrawal clause in the research procedure, if participants choose to withdraw, how will compensation be affected?

Section – C – Description of the Risks and Benefits of the Proposed Research

17. Possible Risks

(a) Please indicate all potential risks to participants as individuals or as members of a community that may arise from this research:

(i) Physical risks (e.g., any bodily contact or administration of any substance): Yes ☐ No ☐

(ii) Psychological/emotional risks (e.g., feeling uncomfortable, embarrassed, or upset): Yes ☐ No ☐

(iii) Social risks (e.g., loss of status, privacy, and/or reputation): Yes ☐ No ☐

(iv) Legal risks (e.g., apprehension or arrest, subpoena): Yes ☐ No ☐

(b) Please briefly describe each of the risks noted above and outline the steps that will be taken to manage and/or minimize them.

18. Possible Benefits

- Describe any potential direct benefits to participants from their involvement in the project
- Describe any potential direct benefits to the community (e.g., capacity building)
- Comment on the potential benefits to the scientific/scholarly community or society that would justify involvement of participants in this study

Section D – Informed Consent

19.*ConsentProcess*

(a) Describe the process that will be used to obtain informed consent and explain how it will be recorded. Please note that it is the quality of the consent, not the form that is important. The goal is to ensure that potential participants understand to what they are consenting.

(b) If the research involves extraction or collection of personally identifiable information from or about a research participant, please describe how consent from the individuals or authorization from the data custodian (e.g., medical records department, district school board) will be obtained.

20.*ConsentDocuments*

(a) **Attach an Information Letter/Consent Form**
For details about the required elements in the information letter and consent form, please refer to our informed consent guide

Additional documentation regarding consent should be provided such as:

- screening materials, introductory letters, letters of administrative consent or authorization

(b) If any of the information collected in the screening process - prior to obtaining informed consent to participate in the study - is to be retained from those who are later excluded or refuse to participate in the study, please state how potential participants will be informed of this course of action and whether they will have the right to refuse to allow this information to be kept.

21. Community and/or Organizational Consent by an Authorized Person

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

(b) If any or all of the participants are children and/or individuals that may lack the capacity to consent, describe the process by which capacity/competency will be assessed and/or, the proposed alternate source of consent.

(c) If an authorized third party will be used to obtain consent:

i) Submit a copy of the permission/information letter to be provided to the person(s) providing the alternative consent

ii) Describe the assent process for participants and attach the assent letter.

22. Debriefing and Dissemination

(a) If deception or intentional non-disclosure will be used in the study, provide justification. Please consult the guideline for the use of deception and debriefing research protocol of the University of Gondar

(b) Please provide a copy of the written debriefing form, if applicable.

(c) If participants and/or communities will be given the option of withdrawing their data following the debriefing, please describe this process.

(d) Please describe what information/feedback will be provided to participants and/or communities after their participation in the project is complete (e.g., report, poster presentation, pamphlet, etc.) and note how participants will be able to access this information.

23. Participants' Withdrawal

(a) Where applicable, please describe how participants will be informed of their right to withdraw from the project and outline the procedures that will be followed to allow them to exercise this right.

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

(c) If participants will not have the right to withdraw from the project, or beyond a certain point, please explain. Ensure this information is included in the consent process and consent form.

Section E- Confidentiality and Privacy

24.Confidentiality

Data security measures must be consistent with University of Gondar's data security standards for personal identifiable and other confidential data in research. All identifiable data that is being kept outside of a secure server environment must be encrypted.

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

(b) Describe the procedures to be used to protect the confidentiality of participants or informants, where applicable

(c) Describe any limitations to protecting the confidentiality of participants whether due to the law, the methods used, or other reasons (e.g., a duty to report)

25. DataSecurity,Retention,andAccess

(a) Describe how data (including written records, video/audio recordings, artefacts, and questionnaires) will be protected during the conduct of the research and dissemination of results.

(b) Explain how long data or samples will be retained. (If applicable, referring to the standard data retention practice for specific discipline) Provide details of the final disposal or storage. Provide a justification if one intends to store the data for an indefinite length of time. If the data may have archival value, discuss how participants will be informed of this possibility during the consent process.

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

(d) If data will be shared with other researchers or users, please describe how and where the data will be stored and any restrictions that will be made regarding access.

Section F- Level of Risk and Review Type

26. Risk Matrix: Review Type by Group Vulnerability and Research Risk

(a) Indicate the Risk Level for this project by checking the intersecting box

	Research Risk - Group Vulnerability		
	Low	**Medium**	**High**
Low	**1** ☐	**1** ☐	**1** ☐
Medium	**2** ☐	**2** ☐	**2** ☐
High	**3** ☐	**3** ☐	**3** ☐

(b) Explain/justify the level of research risk and group vulnerability reported above:

(Please note that the final determination of Review Type and level of monitoring will be made by the University of Gondar Research Ethics Board

Based on the level of risk, these are the types of ethics review that an application may receive:
Risk level = 1: Delegated Review; Risk level = 2 or 3: Full Board Review
For both delegated and full reviews (SSHE), please submit hard copies of application and all appendices (e.g., recruitment, information/consent and debriefing materials, and study instruments). Do not submit an entire research proposal. Please ensure that signatures are in place and submit to…….

The deadline for delegated review (SSHE) is ……., or ……. Information about full IRB meeting and submission due dates are posted on our website (SSHE at the University of Gondar.

All other submissions (e.g., amendments, adverse events, and continuing review submissions) should be sent to the delegate or th committee.

Section G Signatures

27. Privacy Regulations

My signature as lead Investigator or graduate student, or thesis supervisor in Appendix K

of this application form, confirms that I am aware of, understand, and will comply with all relevant laws governing the collection and use of personally identifiable information in research**.** I understand that for research involving extraction or collection of personally identifiable information, regional, national and/or international laws may apply and that any apparent mishandling of personally identifiable information must be reported to the Office of IRB of the University of Gondar.

As student researchers, my signature confirms that I am a registered student in good standing with the University of Gondar. My project has been reviewed and approved by my advisory committee. If my status as a student changes, I will inform the ethics committee or Office of IRB

Signature of Student/Investigator: _____ *Date:*

Signature of Faculty Supervisor/Sponsor: _____
Date:

As the head of the department or dean of the college of social science and Humanities, or Education, my signature confirms that I am aware of the requirement of scholarly review and that the ethics application for this research has received appropriate review prior to submission.
In addition, my administrative unit will follow guidelines and procedures to ensure compliance with all relevant university, regional, national, or international policies and regulations that govern research involving human participants. My signature also reflects the willingness of the department, college, or university to administer the research funds, if there are any, in accordance with university, regulatory and sponsor agency policies.

Print Name of Departmental Chair/Dean (or designate):

Signature of Department head/Dean: _____ Date:
(Or authorized designate)

5. Research Proposal submitting format for ethical issues to be fulfilled by Informatics College Post Graduate Student in applying for an ethical clearance of the Research Protocol

1. Title page: concise title of the project; investigators (student and his/her supervisor) list with their departments; and to whom it has been submitted with date.
2. Tables of Content
3. Structured summary that includes background, Objectives, Methods and materials, budget and work plan.
4. Introduction: Background

- **Background of core problem**
- Provide relevant background information to give reader a decent **foundational understanding** of your research area

5. Rationale of the study (statements of the problem)

Only brief summary of the rationale of the study

6. Objective

Objectives of the study;

5.1. General Objective
5.2 Specific Objectives

Hypothesis or research question

7. Methods and materials (tools)

Detail explanation the planned method for achieving the research objective

[Study design; study area and setting; source and study population with eligibility criteria; sample size and procedure; variables (outcome and explanatory) with operational definitions; data quality assurance; and planned data analysis technique]

8. Inclusion of the four component of research ethics

The ethics component of the research protocol shall include:-

xi. Authorization
xii. Autonomy
xiii. Confidentiality
xiv. Beneficence/ non-magnificence
xv. Justice

9. Dissemination plan

Clearly mention to how to disseminate the findings (eg. Policy briefings, publications, Etc)

10. Work plan and budget breakdown

- Work plan
  - ✓ Preferably use a Gant chart or clearly summarize the duration of the research project

- Budget breakdown
  - ✓ Clearly show the personnel, stationary and transportation related budgets

11. References

- Use a VANCOUVER (Standard Reference Style) reference style
- Better to use reference manager like EndNote, Zotero or any other

6. Research Proposal Submitting Format for Ethical Issues to be fulfilled by Health and Medicine College Post Graduate Student in Applying for an Ethical Clearance of a Research Protocol

1. Title page: concise title of the project; investigators (student and his/her supervisor) list with their departments; and to whom it has been submitted with date.
2. Structured summary that includes background, Objectives, Methods and materials, budget and work plan.
3. **Introduction: Background**

- **Background of core problem**
- Provide relevant background information to give reader a decent **foundational understanding** of your research area

4. **Rationale of the study**

Only brief summary of the rationale of the study

5. Objective

Objectives of the study; hypothesis or research question

6. Methods and materials

Detail explanation the planned method for achieving the research objective

[Study design; study area and setting; source and study population with eligibility criteria; sample size and procedure; variables (outcome and explanatory) with operational definitions; data quality assurance; and planned data analysis technique]

7. Inclusion of the four component of research ethics

The ethics component of the research protocol shall include:-

xvi. Authorization
xvii. Autonomy
xviii. Confidentiality
xix. Beneficence/ non-malnificence
xx. Justice

8. Dissemination plan

Clearly mention to how to disseminate the findings (eg. Policy briefings, publications…. Etc)

9. Work plan and budget breakdown

- Work plan
  - ✓ Preferably use a Gant chart or clearly summarize the duration of the research project

- Budget breakdown
  - ✓ Clearly show the personnel, stationary and transportation related budgets

10. References

- Use a VANCOUVER reference style
- Better to use reference manager like EndNote, Zotero or any other

7. Research Proposal Submitting Format for Ethical Issues to be fulfilled by Institute of Technology Post Graduate Student in Applying for an Ethical Clearance of a Research Protocol

1. Title page: the title should representative of the whole contents of the project; short, concise and self-explanatory and it should include institutional logo and name, name of department investigators including (supervisor) ; and to whom it has been submitted with date and location
2. Structured summary (Executive summary) that includes background, Objectives, Methods and materials, expected outcome budget and work plan.
3. Introduction: Background

- **Background or the scientific context that describes the existing knowledge related with the identified problem to solve the gap need to be filled and significant of doing this project**
- It helps to Provide relevant background information to give reader a decent **foundational understanding** of your research area

4. Rationale of the study

Only brief summary of the rationale of the study

5. Objective

Objectives of the study; and it can include hypothesis or research questions corresponding to each specific objectives

6. Methods and materials

Detail explanation the research design about the material, planned methods and procedures applied to collect and analyze data it may require to design a methodology for each objective sequentially

[Study design; laboratory test ,*description of the study area*; modeling, flowchart to illustrate the procedure; data type, sources and methods of Collection; software used ; sample size and technique and planned data analysis technique]

7. **Inclusion of the four component of research ethics**

The ethics component of the research protocol shall include:-

xxi. Authorization

xxii. Autonomy

xxiii. Confidentiality

xxiv. Beneficence/ non-malnificence

xxv. Related articles of Justice

8. Dissemination plan

Clearly mention to how to disseminate the findings (eg. Policy briefings, publications…. Etc)

9. Work plan and budget breakdown

- Work plan
  - ✓ Preferably use a Gant chart or clearly summarize the duration of the research project
- Budget breakdown
  - ✓ Clearly show the personnel, stationary and transportation related budgets

10. References

- Use IEEE reference style
- Better to use reference manager like EndNote, Zotero or any other

8. Submission form for School of Law Post Graduate Students in applying for an ethical clearance of a Research Protocol

S/N	Component of research proposal	Description
1	Title page	➢ The researcher should provide concise title of his/her project, name (including his/her supervisor), department; and the body to whom it has been submitted with date
2	Structured summary	➢ Consists of background/introduction, Objectives, Methodology, budget and work plan
3	Background/ Introduction	➢ The researcher should provide a brief introduction which presents background information about the problem area in the form of a discussion ➢ The background/ introduction often includes spectacular/salient and general statements about the need for the study
4	Statement problem	➢ Briefly indicate why the particular problem is of importance to be investigated
5	Study Objectives	➢ a paragraph or two that explains what the study intends to accomplish has to be addressed ➢ both general and specific objectives of the study have to be stated
6	Research Questions	➢ Research questions derived from research objectives have to be framed as succinctly as possible. It may have main and sub-questions.
7	Research Methodology	➢ Explain how you will go about in answering the research questions and achieving the research objectives ➢ Indicate study design; study area and setting; source and study population with eligibility criteria; sample size and procedure; variables (outcome and explanatory) with operational definitions; data quality assurance; and planned data analysis technique

8	Ethical Considerations	➢ Please include here any ethical issues that are relevant / unique to your project
9	Work plan and budget breakdown (if any)	➢ Work plan • Preferably use a Gant chart or clearly summarize the duration of the research project ➢ Budget breakdown (if any) • Clearly show the personnel, stationery, transportation related budgets etc.
10	References	➢ References should be done in the form of numbered footnotes and ➢ Provide a list of reference sources/ bibliography at the end of the text

9. Research Proposal Submitting Format for Ethical Issues to be fulfilled by Business & Economics College Post Graduate Student in Applying for an Ethical Clearance of a Research Protocol

No.	CBE
1.	**Title Page**: ▪ Concise title of the project; investigators (student and his/her supervisor) list with their departments; and to whom it has been submitted with date.
2.	**Structured Summary**: • That includes background, Objectives, Methods and materials, budget and work plan.
3.	**Introduction: Background** ▪ Background of core problem ▪ Provide relevant background information to give reader a decent foundational understanding of your research area

4. **Rationale of the study:/statement of the problem**

- Only the research gap/puzzle drawn based on few previous empirical findings/studies relating to the underlined topic

5. **Objective**:

- Objectives of the study; hypothesis or research question

6. **Inclusion of the four component of research ethics:**

- The ethics component of the research protocol shall include:-
- Approval
- Consent
- Confidentiality/Privacy

7. **Dissemination plan:**

- Clearly mention to how to disseminate the findings (eg. Policy briefings, publications…. Etc)

8. **Work plan and budget breakdown:**

- Work plan
  - ✓ Preferably use a Gant chart or clearly summarize the duration of the research project
- Budget breakdown
  - ✓ Clearly show the personnel, stationary and transportation related budgets

9. **References**:

- APA- widely used
- Harvard – but rarely

Appendix X Declaration Form for Students

UNIVERSITY OF GONDAR

Declaration of Originality Form

This form must be completed and signed for all works submitted to the University for Examination.

Full Name of the Student _____

Registration Number _____

College/School/Institute _____

Department _____

Course Name _____

Title of the work: _____

DECLARATION

1. I the under signed, recognize what plagiarism is and I am aware of the University's Plagiarism Policy in this regard.
2. I declare that this _____ (Research, Thesis, Dissertation, Project, Essay, Assignment, Term paper, Report, Seminar, etc.) is my original work and has not been submitted elsewhere for examination, award of a degree or publication. Where other people's work or my own work has been used, this has properly been acknowledged and referenced in accordance with the University of Gondar's requirements.
3. I have not sought or used the services of any professional agencies to produce this work.
4. I have not allowed, and shall not allow anyone to copy my work with the intention of passing it off as his/her own work.
5. I understand that any false claim in respect of this work shall result in disciplinary action, in accordance with University Plagiarism Policy.

Signature _____ Date _____

Appendix XX **Declaration Form for Staff**

UNIVERSITY OF GONDAR

Declaration of Originality Form

This form must be completed and signed for all scholarly works produced.

Full Name of the Staff _____

Staff ID Number _____

College/School/Institute _____

Department _____

Title and bibliographic details of the work

_____

DECLARATION

1. I the under signed, understand what plagiarism is and I am aware of the University's Plagiarism policy in this regard.
2. I declare that this _____ scholarly work (Paper, book chapter, monograph, review, seminar, conference proceedings, etc.) is my original work. Where other people's work or my own work has been used, this has properly been acknowledged and referenced in accordance with the University of Gondar's requirements.
3. I have not allowed, and shall not allow anyone to copy my work with the intention of passing it off as his/her own work.
4. I understand that any false claim in respect of this work shall result in disciplinary action, in accordance with University Plagiarism Policy.

Signature _____ **Date** _____

Appendix XXX **Plagiarism Incident Reporting Form for Students**

UNIVERSITY OF GONDAR

Plagiarism Incident Reporting Form

(To be completed by Supervisor/Instructor/staff)

This form is to be completed and submitted to the University of Gondar Plagiarism Committee.

Please attach all relevant information on all cases of plagiarism.

Full Name of the Student: _____

Registration Number: _____

Student email address: _____

College/School/Institute: _____

Department: _____

Course Name: _____

Name of Staff Member: _____

Description of plagiarism incident:

_____

_____

Staff Member Signature: _____ Date: _____

Student's comments:

_____

_____

Student's Signature: _____ Date: _____

Dean/Director/Chairman of Dept. Signature: _____ Date: _____

Appendix IX **Plagiarism Incident Reporting Form for Staff**

UNIVERSITY OF GONDAR

Plagiarism Incident Reporting Form

This form is to be completed and submitted to the University of Gondar Plagiarism Committee.

Please attach all relevant evidence for all cases of plagiarism.

Name of Staff: _____

Staff ID Number: _____

Staff Email address: _____

College/School/Institute: _____

Department: _____

Name of person reporting plagiarism: _____

Description of plagiarism incident:

_____

_____

Signature of person reporting: _____ Date: _____

Email Address of Reporter: _____

Telephone of Reporter: _____

Dean/Director/Chairman of Dept. Signature: _____ Date: _____