African Centre for Technology Studies
Knowledge for Better Livelihoods

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ICIPE Duduville Campus
Kasarani, Nairobi

Ref: ACTS/SOP/003/2019

Standard Operating Procedures: Research Ethics Guidelines (SOP – RE/3/2019)

The African Centre for Technology Studies (ACTS) conducts research, capacity building, policy analysis as well as knowledge and technology brokerage in the areas defined by the strategic plan and as specified by its partners and stakeholders. This takes place in line with the ACTS Program of Work, available resources, time schedules and personnel. This document defines the procedures to be followed by researchers at the Centre and their collaborators when conducting all research. This will ensure that research complies with internationally recognized research standards and ethics.

1. As a minimum, ACTS research will comply with the following principles and guidelines:
   a. Cause no harm: ACTS research shall not knowingly inflict harm to researchers, research participants or the beneficiaries of the research outputs.
   b. Free, prior and informed consent: all research participants will be notified on the objectives, format, methods and impacts of research activities (negative or positive) and should be free to withdraw their consent to the research activities at any time.
   c. Confidentiality: ACTS researchers shall ensure that participants/respondents confidentiality is maintained
   d. Safety: Utmost care shall be taken to ensure the safety of researchers and/or research participants
   e. No coercion: No inducement or other forms of coercion shall be used to gain participation of any person in the research activities.
   f. Involvement of children (under 18years): Where children are involved signed consent will have to be issued by a parent/guardian. Parents/guardians shall be free to withdraw the participation of the minors at any given time.
   g. Gender: ACTS research shall seek to promote gender equity and equality
   h. Inclusivity: ACTS research shall seek to ensure inclusion for instance of persons with disability, women and other socially disadvantaged individuals.

2. It is the responsibility of the principal investigator of a specific research project to ensure that, with respect to human subjects, the work is carried out ethically and as described in the project proposal and the rights of the subjects are fully protected. This may be provided for in the Research Consent Forms or equivalent.
3. ACTS research applications shall be evaluated and approved by a Research Ethics Committee (REC) comprising of the Senior Management Team (SMT) who can co-opt any other person as appropriate (Annex 2). The Terms of Reference for the SMT have been drawn and specified under ACTS operational policy guidelines.
4. The committee (REC) will be compensated at a rate of KES 10,000 per person for a complete application review process with written feedback provided to the PI. This expenditure will be covered by the relevant project in which the review is relevant.
5. An application for research ethics approval shall be made using a prescribed form (Annex I).

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Annex 1: application for Ethics approval/Research Ethics - Protocol Approval Form

Use this form to request review of a research application:

1. Submission Date:
2. Submitter Name:
3. Email: Phone:
4. Title of Research Project:
5. Type of Research:
6. Details of the PI and other researchers
   a) Email; Phone
   b) PI Affiliation
   c) PI Department
   d) If not an ACTS' employee, enter company/university name
   e) PI Position
   f) If applicable, enter additional researchers here and choose their department and affiliation with ACTS.
   g) Additional Researcher: Co-Investigator Affiliation, Co-Investigator Department
   h) If not ACTS affiliated, please provide company/university affiliation.
7. Basic Study Details:
   a) Is there an external funding source for this study?
   b) What is the date you will start working with human subjects or human subjects data? Timeline details must be included as part of the introduction paragraph of the study details.
   c) What is the date you expect to conclude your data analysis?
8. Which methodology(ies) will be used for your work.
   a) Ethnographic Study
   b) Interview
   c) Survey/Questionnaire
   d) Other/s
9. Indicate the primary location where this research will be conducted.
   - Site: External and/or International
   - If you have any secondary locations, choose all that apply; External, International
10. Indicate the populations that will be involved in this research.
11. Research protocol (to accompany this application)
    - Study Protocol should contain the following information:
      - Name of PI

- Statement of Purpose, Benefits, and Hypotheses

12. Evaluation Criteria Information
    a) Describe any risks to subjects (physical, psychological, social, economic, etc.) that may be involved. Indicate what measures will be taken to minimize risks. Also, provide information on the anticipated benefits. (Benefits do not include any incentives offered to subjects.)
    b) Indicate how subject selection is equitable considering the purpose of the research and the special needs of vulnerable populations. Include information on recruitment procedures and incentives offered.
    c) Informed consent must be obtained from subjects. If you would like to waive this requirement, provide a justification for the waiver. If you will be obtaining consent, attach the consent form(s) you will be using.
    d) Will deception of subjects be involved in this research project?
    e) Provide information on plans for adequately monitoring the data collected so that risks can be reevaluated, if necessary; i.e. to determine that risks are not greater than initially predicted.
    f) Explain how the subjects' privacy and confidentiality will be protected.
    g) Provide information on how subjects will be adequately debriefed regarding the purpose and results of the study. Information on deception, if any, can be included in the question above on deception.
    h) If you have any additional documents to support your application, please attach to the application.

PI Signature

Your signature below indicates that the information presented in this application is complete and accurate and agree to follow the ACTS Research Ethics guidelines.

Signed …….. **Date**…….

Annex 2: Composition of the REC (maximum of 5 people)

- Executive Director or his nominee (Chair)
- Programme Directors (or nominees)
- Director of Finance (or Corporate Department representative)
- Any of the Programme Heads to serve as Secretary to the Committee