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ADDU Ethical Guidelines for Research

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CONTENTS

Preface v

Introduction 1

Preamble 2

Section 1. Fundamental Epistemological and Ethical Principles in Research 2

1.1 The Universal Moral Principles 2
1.2 Institutional Ethical Principles in Research 4

Section 2. Responsibilities of the Researcher/s 7

2.1 Responsibilities of the Researcher/s toward the Protection and Promotion of Integrity in Research
2.2 Responsibilities of the Researcher/s to the Research Team 9
2.3 Responsibilities of the Researcher/s to the Research Participants 10
2.4 Responsibilities of the Researcher/s to the Research Participants belonging to the Vulnerable Groups 11
2.5 Responsibilities of the Researcher/s to Future Researchers 15
2.6 Responsibilities of the Researcher/s to the Review Committee 16
2.7 Responsibilities of the Researcher/s to the Ateneo de Davao University 16
2.8 Responsibilities of the Researcher/s to One’s Self 16
2.9 Responsibilities of the Researcher/s in a Community-Based Collaborative Research 16
2.10 Responsibilities of the Researcher/s in Conducting Electronic and/or Online Research 17
2.11 Responsibilities of the Researcher/s in Biodiversity Research 18

Section 3. Responsibilities of the Funding Partners/Sponsors 24

Section 4. Responsibilities of the Ateneo de Davao University 25

Section 5. Misconduct in Research and Sanctions/Penalties 26

5.1 Definition of Misconduct in Research
5.2 Requisites of Research Misconduct 27
5.3 Principles and Procedures to Address Research Misconduct 28

Section 6. Termination of Research
Section 7. Ethics Review Committee (ERC)

7.1 Review Commissioned Researches 28
7.2 Functions/Responsibilities of the ERC 29
7.3 Structure of the ERC 30
7.4 The Research Ethics Review Process 32

Glossary 36

Appendices

Appendix A. Informed Consent 38
Appendix B. Features of Feminist Research Ethics 40
Appendix C. Proposed Checklist for Determining the Ethical Soundness of the Research 41
Appendix D. Template for Peer Review 43
Appendix E. The 3 R’s of Russell and Burch (1959) 46
Appendix F. Intellectual Property Rights 47
Appendix G. International Guiding Principles for Biomedical Research Involving Animals (1985) 49

References 51
PREFACE

I am grateful to all who worked to prepare and finalize these ADDU “Ethical Guidelines for Research.”

I hope these Ethical Guidelines are helpful in encouraging research with clear personal responsibility of the researcher(s) in the context and atmosphere of academic freedom and with due respect for and protection of the rights of all concerned.

May we have a better research culture at the Ateneo de Davao University and may our research activities and results greatly increase.

ANTONIO S. SAMSON S.J.
President

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GUIDELINES FOR ETHICS IN RESEARCH

INTRODUCTION

Ethics is concerned with the conduct of human beings. All research necessitate the participation of human beings; they have an impact on human beings or in the wider society and environment. Therefore, it is essential that researchers consider ethical principles and guidelines in the conduct of their research activities.

The Guidelines for Ethics in Research serves as standards for the growing community of researchers in the Ateneo de Davao University to reach the most appropriate and ethical action given the diverse contexts or situations they find themselves in. Compliance with these guidelines helps to ensure the promotion of the research participants’ dignity, rights, safety, and well-being. It also guarantees the credibility of the results of the investigations. The institutionalization of these guidelines shows the Ateneo’s actualization of its vision, mission, and goals in the context of research in Mindanao.

The Guidelines for Ethics in Research reflects existing national and international ethical guidelines in research, the lived experiences of faculty researchers, and pertinent documents of the Church and those of the Society of Jesus that show how Catholic universities conduct their researches.

Section 1 states the fundamental ethical principles. It starts with the four universal moral principles: Respect for a person/autonomy, beneficence, non-maleficence, and justice; it includes the principles of care and integrity and the institutional ethical principles taken from the documents of the Society of Jesus and the Apostolic Constitution of the Supreme Pontiff John Paul II on Catholic Universities,1 which explain the role of Catholic universities in the conduct of research. Section 2 enumerates the responsibilities of the researcher not only to the various stakeholders in the research process such as the research team, the respondents, future researchers, the Ateneo de Davao University, the researcher, and the scientific and ethical review committee, but also to the different vulnerable and/or special groups which include the lesbians, gays, bisexuals, transgender, children, adolescents, older persons, the differently-abled, prisoners, indigenous peoples, the sick, ill and injured, and the students. It also includes provisions for community-based collaborative research, online research, and environmental, flora and fauna research. Section 3 lists the accountabilities of funding partners or sponsors. Section 4 states the expectations of the Ateneo de Davao University on all those involved in the research process. Section 5 tackles the issue of misconduct in research, the corresponding principles and procedures in addressing misconduct, and the imposable corrective measures or sanctions. Section 6 provides the composition, functions, and conduct of an ethical review of the Ethics Review Committee. Lastly, the appendices provide additional documents corroborating the different sections.

PREAMBLE

The Ateneo de Davao University is a Jesuit University. As Jesuit, it “act(s) in harmony with the demands of the service of faith and promotion of justice.” As a university, it is “committed to the fundamental autonomy, integrity, and honesty of a university: A place of serene and open search for and discussion of the truth.” The Ateneo seeks to “promote interdisciplinary work which implies a spirit of cooperation and dialogue among specialists within the university itself and with those of other universities.”

The Ateneo researchers commit themselves to increasing people’s understanding of themselves and of their environment and to using such knowledge to improve their conditions as well as that of the environment/ecosystem. In the research process, they must observe ethical principles and standards and the Ignatian values of cura personalis, passion for truth, integrity, hard and honest work, creativity, critical thinking, solidarity, and community spirit in their pursuit of magis.

SECTION 1: FUNDAMENTAL EPISTEMOLOGICAL AND ETHICAL PRINCIPLES IN RESEARCH

The Ateneo de Davao University adopts these fundamental ethical principles in research drawn from the universal, moral, and scientific principles in the conduct of research and from the tradition of the Society of Jesus in proceeding with its educational mission.

1.1 The Universal Moral Principles

Respect for the individual human person is the overarching maxim of morality and governs all other ethical principles. Research must promote life, dignity, and rights of every human being. The conduct of research must be in accord with these fundamental and time-honored principles that protect basic human rights.

1.1.1 Autonomy. It acknowledges the dignity and capacity of individuals to make their own decisions. Researchers should always ask their participants’ consent to the research. “There is a moral duty to seek valid consent because the consenting party is an autonomous person, with all the entitlements that status confers.” Autonomy is the central doctrine from which the doctrine of informed consent evolved. “Those with diminished

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2 Documents of the 32nd General Congregation of the Society of Jesus (GC 32), Decree 17, 192; 191; 193.
3 Minutes of the Meeting, ADDU Visioning Committee, 21 July 2006.
4 Autonomy is the capacity for self-determination. An autonomous person is an individual capable of deliberation about his/her personal goals of acting under such deliberation.
5 Tom L. Beauchamp and James F. Childress, Principles of Biomedical Ethics, (New York: Oxford University Press, 1979), 65.
autonomy and those who on account of their social circumstance are considered vulnerable shall be provided special protection.”  

1.1.2  **Beneficence.** This requires that an individual must act with kindness and charity, hence, should do good and avoid evil and harm. However, a mere avoidance of harm is inadequate. It likewise required that positive steps be taken in securing the well-being of individuals by maximizing anticipated benefits and minimizing possible harm. The expected benefits derived from the research justify the taking of risks.  

1.1.3  **Non-maleficence.** This enjoins a rigorous obligation to avoid injuring another individual or exposing another to danger. The legal requirements of duty of care and accountability arise from this principle. 

This principle requires that the undertaking must not intentionally create needless harm or injury to research participants, in particular, and to people, in general, either through acts of commission or omission. Hence, a proper standard of care that avoids or minimizes the risk of harm should be provided. 

1.1.4  **Justice.** This principle demands that the basic human rights possessed by every human being be upheld and protected, or as Aristotle once said, ‘giving to each what is due.’ In research it refers to: One, equitable distribution of both the burden/risk and benefits of participation in the research. An injustice occurs when benefits to which a person is entitled are denied him/her without any show of good reason or when some burden is unduly imposed. Two, that participants are selected equitably. This implies that the research participants are carefully and equitably chosen to ensure that they are not systematically selected because of their easy availability, their compromised position, or their manipulability. “Furthermore, unless there is careful justification for an exception, research should not involve persons from groups that are unlikely to benefit from subsequent applications of the research.”  

1.1.5  **Care.** This centers on responsiveness in an interconnected network of needs, care, and prevention from harm. Taking care of others is the core notion. Care is predicated on interdependence, mutuality, and recognition of context, and moral emotions such as sympathy and compassion. Many human relationships involve persons who are

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7 Ibid.  
8 Ibid.  
9 Ibid.  
10 Beauchamp and Childress, 371.
vulnerable, dependent, ill, and frail. The desirable moral response is attached attentiveness to their needs, not detached respect for their right.

Care recognizes the moral importance of moral emotions. “Insights into the needs of others and considerate alertness to their circumstance often come from emotions more than reasons.” Thus, emotions seem to have a ‘cognitive role,’ allowing us to grasp a situation that may not be immediately available to one arguing solely from a justice perspective. It challenges researchers to assume that sense of responsibility necessary to ensure that the interest and welfare of all those involved in the research activity is duly safeguarded. This sense of responsibility to be duly exercised has to be complemented by other ethical elements of care such as attentiveness, competence, and responsiveness.

The principle of care is especially helpful in qualitative research which is contextual, holistic, interpretive, and experiential and which emphasizes the observance of mutuality and reciprocity between researchers and participants. Care demands that full regard be given to the value of trust which participants place in the researcher when they provide information. It also insists on attention to ‘concrete others’ and on cultivating the abilities for sympathetic, imaginative projection into the perspectives of others, crucial to achieving an understanding of the way others see and experience their needs.

1.1.6 Integrity. At the heart of this principle are the twin issues of fidelity and trustworthiness, critical to the success of any research endeavor and to the maintenance of a research culture. Fidelity implies faithfulness, keeping promises or agreements and loyalty. It can be gauged by one’s ability to comply with the provisions of the contract such as faithfulness in meeting deadlines, of using the agreed research design and methodology, and of honoring obligations and other conditions the researchers bound themselves in.

Trustworthiness refers to the fact that one’s word and action can be relied upon. The entire edifice of science is built upon trust. Every researcher must be trusted to do and say what is right.

1.2 Institutional Ethical Principles in Research

1.2.1 Promotion of well-being. The best interest of people, particularly those of the Filipinos, shall serve as the basic motivation for research undertaking.

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11 Ibid., 89.
Cura personalis, a value central to the conduct of the Jesuit educational mission, challenges the researchers to show pastoral care by embracing the promotion of human welfare as a fundamental research concern in both its process and objective. The Ateneo de Davao University as a Catholic university finds “it essential that its members are convinced of the priority of the ethical over the technical, of the primacy of the person over things, [and] of the superiority of the spirit over matter. The cause of the human person will only be served if knowledge is joined to conscience [and] if the sense of the transcendence of the human person over the world and of God over the human person is preserved.”

1.2.2 Respect for intellectual freedom. Assumed in this principle is the recognition of the individual’s capacity to understand one’s self and the world and make decisions. Hence, in the area of research a member of the institution of higher learning bestowed with such attribution can choose one’s subject of research, pursue its inquiry, release its findings and conclusion without interference from ecclesiastical, political and administrative officials of the institution where the researcher belongs for as long as the study conforms with the standards set by the profession and does not in any way compromise the values that the university seeks to promote.

Inherent in the principle is the preference for an institutional attitude of openness that in effect provides greater latitude for inquiry into areas that may be lying within the domain of the unfamiliar and the unconventional. These areas though in the frontiers or boundaries may be regarded according to the Jesuits “not as obstacles or ends but are new challenges to face and new opportunities to welcome.”

Nevertheless, in response to the call of the times it is suggested that “Catholic universities include among their research activities studies on serious contemporary problems in areas such as the dignity of human life, the promotion of justice for all, quality of personal and family life, the protection of nature, the search for peace and political stability, a more just sharing in the world’s resources and a new economic and political order that will serve the human community at a national and international level.”

1.2.3 Adherence to rigorous and honest work. Implicit in this principle is the observance of thoroughness, accuracy, honesty and compliance with scientific and ethical standards in the conduct of research. Consistent with the value of the magis, researchers are challenged to “scrutinize reality with the methods proper to each academic discipline, and bring the various

14 Pope John Paul II.
15 Documents of the 34th General Congregation of the Society of Jesus (GC 34), Decree 26, 148.
16 Ibid., 9.
disciplines into dialogue for their mutual enhancement." Critical also to this principle is honesty in the conduct of work such that it could stand the scrutiny of peers and its result could serve as credible basis of an informed judgment.

1.2.4 **Commitment to empower the community to respond to the challenges of the times.** Where relevant to the nature of the research, this principle calls for researchers to embody in their methodology the empowerment of the community as a way of helping them collectively work for the betterment of their lives. This may be done in the form of providing the community with relevant, substantive, and evidence-based information and/or involving the community in the gathering of the same and in the formulation of planned courses of action when required.

1.2.5 **Conduct the research and present subsequent recommendation/s in a manner that reflect integration of knowledge.** Integration of knowledge is a process dedicated to the search for truth. “Aided by the specific contributions of philosophy and theology, university scholars will be engaged in a constant effort to determine the relative place and meaning of each discipline within the context of the human person and the world that is enlightened by the Gospel and faith in Christ, as the centre of creation and of human history. Inherent in the process is the dialogue between faith and reason. This dialogue demonstrates that methodical research within every branch of learning when carried out in a truly scientific manner and in accord with moral norms, can never truly conflict with faith. For the things of the earth and the concerns of faith derive from the same God.”

The Ateneo de Davao University, being a Catholic and a Jesuit institution of learning, intends to provide from the findings of its researches recommendations that contribute to the “transformation of society towards more profound levels of justice and freedom.”

1.2.6 **Observance of gender-responsiveness and culture sensitivity as cross-cutting issues in research.** Drawing from the mandate of Decree 27 of the 34th General Congregation (GC 34), the promotion of gender equality is declared as an important goal of the Jesuit educational mission. Within the university, it is agreed that gender and cultural sensitivity serve as cross-cutting issues of researches to be undertaken. This implies that researches, if possible, use the lens of gender and culture-sensitivity in pursuing the topic of inquiry. Furthermore, since the Ateneo de Davao University seeks to be the locus of research in Mindanao, and given the island’s demographic composition, it is imperative that the researches

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17 Ibid., 5.
18 Ibid.
19 Ibid.
20 Minutes of the Meeting, University Research and Publication Committee (URPC), 29 March 2006.
undertaken reflect greater attentiveness to the needs and conditions of a culturally heterogeneous society.

1.2.7 Commitment to the integrity of creation. Creation is God’s precious gift and the source of revelation; all elements of creation are interdependent. The preservation of the integrity of creation is foundational to justice and peace; it is a commitment to the present community of people as well as to the future generations to come. At the heart of this commitment is the concern for “ecological equilibrium and a sustainable and equitable use of the world’s resources.” Thus, research conducted in and by the Ateneo de Davao University must be imbued with an overriding concern for the preservation of the integrity of creation. Such that stewardship of the world be a value that should inform the standpoint of researchers involving the environment and its corresponding flora and fauna.

SECTION 2: RESPONSIBILITIES OF THE RESEARCHER/S

Section 2 explains the responsibilities of the researcher in relation to the protection and promotion of integrity in research, to the research participants, their institutions, to the research team and colleagues, to future researchers, reviewers, editors, publishers, funding partners and sponsors, and other collaborators.

2.1 Responsibilities of the Researcher/s toward the Protection and Promotion of Integrity in Research

Researchers have primary rights and responsibilities toward the protection and promotion of integrity in research. Research must be conducted in a manner that adheres to the highest ethical and professional standards. This implies that researchers proceed with the undertaking with an updated understanding of the particular ethical issues relative to the subject of study and apply these in every stage of the research process. Hence, the researchers should abide by the following sub-principles in research:

2.1.1 Intellectual freedom of researchers. Researchers undertake researches that uphold their autonomy in determining the research design, methodology, analysis, and interpretation of findings and publication of result.

2.1.2 Commitment to competency. The researchers must maintain professional competency and knowledge within their area of expertise and conduct their work within the scope of their training and knowledge base.

2.1.3 Observance of non-discriminatory attitude and practices. They must foster a scientific community where discrimination based on gender, race, age, sexual orientation, religious affiliation, ethnic, or national origin does not occur. Hence, measures must be adopted to ensure that all those

\[^{21}\text{GC 34, 3, 9.}\]
involved are oriented on how to act in a manner respectful of and/or sensitive to the peculiar context of the group being studied such as the culture and gender context.\footnote{Minutes of the Meeting, URPC, 27 March 2006.}

2.1.4 \textit{Compliance to laws, regulations, and policies.} Researchers should know the current professional, institutional, and governmental regulations and policies in proposing, conducting, and reporting their researches; they should comply with all these. They must take active steps to resolve discrepancies when policies or regulations are unclear, ambiguous, or contradictory.

2.1.5 \textit{Avoidance of conflict of interest.} Researchers should be cognizant that conflict of interest may occur in the context of professional activities and must take active steps to avoid them. When researchers can not avoid real or perceived conflicts of interest, they should seek consultation and proceed cautiously to minimize biases, flawed judgment, harm, or exploitation.

2.1.6 \textit{Commitment to credibility.} Researchers should engage in practices that the scientific community accepts when they propose, conduct, and report research findings. They should:

a. practice honest stewardship of the research resources and use recognized accounting methods.
b. conduct their professional responsibilities with utter regard for truth.
c. observe honesty and transparency in every stage of their research.
d. avoid fabrication, falsification, plagiarism, or other related unethical practices at any stage of the research process.
e. report findings accurately and truthfully.
f. follow established procedures to preserve the integrity of the scientific community in cases involving their witnessing of fraud or misconduct.
g. not harass those whom they believed or known to have made accusations against them of fraud or misconduct.
h. use equitable and scientific criteria for their selection of participants.\footnote{University of Toronto Faculty of Applied Science and Engineering, “Framework for Ethics in Research,” in \url{http://www.ecf.toronto.edu/apsc/research/framework/research.html#guidelines}, accessed 30 October 2006.}

2.1.7 \textit{Observance of proper research management and effective system for accessing data.} To protect the integrity of their research materials, the researchers should:

a. clearly and authentically record data and methods, and make these and their materials available to others for analysis or replication.
b. select materials appropriate for data acquisition, recording, and storage.
c. ensure protection of historical records and preservation of study material.
d. guarantee the organized collection and storage of data and important research results for cross-checking purposes. Significant research results, data, or designs should be checked for reproducibility as appropriate and should be kept for at least five years.
e. take active steps to select methods and materials that protect the research participants’ right to privacy.
f. adopt measures against possible misuse of research and take reasonable corrective steps when they come across the wrong use or misrepresentation of their work.
g. take active steps to correct errors or oversight in proposing, conducting, or reporting research.²⁴

2.1.8 Commitment to peer review for institutional researches. The researchers should:

a. subject their research to peer review as an essential part of every research endeavor or initiative.²⁵
b. respect the other’s right to have their work reviewed in a confidential, timely, and objective manner.
c. assess and disclose multiple roles or allegiances which may undermine the confidential and fair review of another’s work.
d. take active steps to protect the integrity of review materials and guard the intellectual property of others.

2.2 Responsibilities of the Researcher/s to the Research Team

2.2.1 The principal researchers should:

a. ensure that all the researches performed in their laboratories or other research settings are of the highest possible quality and meet ethical standard.
b. transmit the relevant expectations, obligations, and responsibilities to all persons being supervised and monitor the work performed by members of the research team and other support staff.
c. provide/impart to the successors, assistants, students, and trainees, proper training and guidance regarding all aspects of research, including safety, security, and ethical conduct appropriate to the nature of the research.
d. delegate to the successors, assistants, students, and trainees only those responsibilities that they are capable of performing on the basis of

²⁴ Ibid.
their education, training, or experience either independently or under supervision.
e. take responsibility over the ethical conduct of research by all successors, assistants, students, and trainees who share equal responsibility to observe the same.
f. refrain from engaging personally or professionally, in discriminatory, harmful, or exploitative practices or any perceived form of harassment.
g. not impose views/beliefs on or seek personal, sexual, or economic gain from anybody, including other researchers, juniors, assistants, students, and trainees.
h. avoid deceiving or coercing other researchers, including successors, assistants, students, and trainees into serving as research subjects/participants or use them as cheap labor.
i. promote among researchers cooperation, responsiveness, honesty, and respect about the interest, opinion/view, capability, and work of other colleagues, including successors, assistants, students, and trainees.
j. document the data and ensure the right of all involved to know all aspects of research including ownership of the results. This same entitlement should be extended to students doing their own research in a project team. Students should have the right to opt out of a research project without having to face adverse consequences.
k. privilege co-authors the opportunity to review the manuscript, see the final version of the paper, and to agree to its submission for publication.
l. ensure that the names of all the co-authors appear in the publication.26

2.2.2 The research team members should:

a. perform the assigned work within the spirit of teamwork according to the agreed rules and work plan.
b. treat all members of the research team with respect and in a manner not inimical to the interest of the research and of the subsequent researchers.
c. acknowledge all research respondents, participants in participatory research projects, individuals, organizations, institutions, and all those who made possible the conduct of research.

2.3 Responsibilities of the Researcher/s to the Research Participants

Generally, researchers are expected to observe the following in dealing with their research participants:

2.3.1 Formulate research design, methodology, and recommendation/s informed by the perspectives, frameworks, and, if necessary, literature reflective of the sector or subject involved in the research.27

2.3.2 Select research participants in a manner that no particular group or groups are unfairly excluded from the direct, indirect, or potential benefits of research.28

2.3.3 Obtain the informed consent of the prospective research participants when it is required.

2.3.4 Exercise utmost discretion in ensuring the confidentiality of information and the anonymity of the participants in all research materials. However, the participants should be informed of any potential limitation to the confidentiality of any information supplied.

2.3.5 Provide measures when necessary to alleviate any distress caused to those participating in research. This may include provisions for appropriate forms of compensation or reciprocities.

2.3.6 To have a sense of accountability over the calculated effects of one’s work, including the consequences of misuse, both for the individuals and groups among whom they do their fieldwork, and for their colleagues, and for the wider society.

2.3.7 To carry out the research with respect and sensitivity to local customs, norms, laws, and regulations.

2.3.8 To refrain from using community or research setting as constant and long-term sources of data collection for curricular research or training unless consent on mutually beneficial arrangement is obtained.

2.4 Responsibilities of the Researcher/s to the Research Participants belonging to the Vulnerable Groups

The research team members are expected to observe the following acts in dealing with research participants belonging to the vulnerable groups:

2.4.1 Fetuses and neonates

a. Ensure that the goal of the research is to obtain knowledge relevant to the needs of fetuses and neonates and that such knowledge is deemed for their best interest.

b. Follow the risk assessment requirements and other specific conditions set by the ethical guidelines of the health profession.29

c. Refrain from taking part in determining the viability of a neonate.

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28 Center for Inquiry into Health.

d. Ensure that the research has the prospect of any and/or all of the following purposes:

d.1 enhancing the probability of survival.

d.2 any risk is the least possible for achieving that objective.

d.3 the purpose is the development of knowledge which can not be obtained by other means.

d.4 there will be no added risk to the neonate resulting from the research.\[^{30}\]

e. Avoid using artificial means to maintain the vital function of the neonate and to desist from allowing the research to be used as basis to terminate the heartbeat or respiration of the neonate.\[^{31}\]

2.4.2 *Sick, ill, and injured*

Researches involving the sick, ill, injured, and populations traumatized in emergencies and disasters, shall make specific reference to the guidelines set by the National Ethical Guidelines for Health Research (2006) and the World Medical Association Declaration of Helsinki (2000).

2.4.3 *Children and adolescents.* Researchers conducting studies involving children and adolescents should observe the following points:

a. Make certain that the goal of research is to obtain knowledge relevant to the needs of children and adolescents and that such knowledge is deemed for their best interest.

b. Involve children and adolescents only when the research might not be equally carried out with adults.

c. Avoid doing research with younger subjects when older adolescents are scientifically suitable.

d. Obtain the child’s and adolescent’s consent to the extent of their capabilities.

e. Respect the right of parents or other legal guardians to be informed or to give their assent for inclusion of the child and adolescent in the study.

f. Observe school policies or procedures in the case of educational research involving participation of children and adolescents.

g. Be sensitive to the needs of the children and adolescents.

h. Have the appropriate staff, facilities, and referral system to care for this population group.\[^{32}\]

\[^{30}\] Ibid.

\[^{31}\] Ibid.

2.4.4 Older persons

Make potential participants and their families understand how the risks and potential benefits of the study may alter the person’s daily life and routine clinical care. This obligation becomes more important as the risks of research increase.

2.4.5 Students

a. Exclude the researcher’s students from being employed in the research. This is because of the power imbalance inherent in the nature of the relationship which makes it difficult to obtain a freely given consent. If there is a good reason to use the researcher’s students then he or she may ask a co-researcher to invite the students to participate.33

b. Give academic credit for work involving voluntary participation in research, only if:

b.1 credit is given for work that is appropriate to the student’s academic program; and

b.2 alternative means are readily available for earning the same credit that are not, nor are thought generally by the students to be substantially more onerous or less attractive than participation in the research.34

2.4.6 Lesbians, gays, bisexuals, and transgenders (LGBT)

Ensure that members of the lesbian and gay communities from various socioeconomic contexts are equitably represented in the research as well as in the formulation of funding policies and guidelines.35

2.4.7 Differently-abled36

a. Demonstrate an updated understanding of the social model of disability and its application in disability research.

33 Training Course In Research Ethics conducted by UP Fogarty Bioethics Program, Philippine Council for Health Research and Development, Department of Science and Technology and Health Policy Development and Planning Bureau, Department of Health, 20-21 November 2003, Davao City.

34 Ibid.

35 Ibid.

b. Provide necessary enabling facilities and arrangements that would allow the inclusion of the broadest possible representation from this group relevant to the topic of inquiry.

2.4.8 Indigenous people

a. Reflect in researches dealing with the participants’ experiences the distinctive perspectives, and understandings derived from their cultures and histories.
b. Recognize orally transmitted knowledge as a valuable research resource along with documentary and other sources.
c. Provide space for the fair representation of the multiplicity of viewpoints.
d. Understand and observe the protocol concerning communications within the concerned communities.37

2.4.9 Women

Gender sensitivity is one of the values embraced by the Ateneo de Davao University that should permeate its research endeavors.38 Hence, the researchers are expected to observe the following essential features of feminist research ethics:

a. Reaffirmation of fundamental research ethics concerns such as, benefit and reciprocity, informed consent, collaboration and research privacy and confidentiality.
b. Breaking down the research hierarchy such that women are allowed to express themselves with minimum interference and willingness on the part of researchers to share their own experience with cooperators if the latter so request.
c. Put into practice ethics of personal involvement and participation that include awareness of negative and possible outcomes that may arise, assistance to participants in avoiding possible conflicts and tensions, and provision for support system to researchers and the researched when necessary.
d. Adherence to the liberatory goal of feminist research which implies that knowledge is elicited and analyzed for the purpose of understanding the status of women in society and using the exercise to improve their conditions in society.
e. Practice self-reflexivity/avoidance of analyst bias maybe manifested in various ways such that the researcher makes his or her presence known

38 Minutes of the Meeting, URPC, 27 March 2006.
in the written text, use quotes to indicate the storyteller’s voice, and write research report in a user-friendly way.

- Observance of ethics in data-processing.
- Re-examine the politics and hierarchy of the research institution in the academe such that “invisible work and its workers are given due recognition and attention in the course of the research process.\(^{39}\)

### 2.4.10 Prisoners

- Ensure that their participation in the study is not influenced by their incarceration.
- Obtain and submit written confirmation from the prison that the parole boards will not take into account a prisoner’s participation in the research when making decisions regarding parole.
- Pursue the study that involves only one of the following areas:
  - c.1 study of the possible causes, effects, and processes of incarceration and of criminal behavior;
  - c.2 study of prisons as institutional structures or of prisoners as incarcerated persons;
  - c.3 research on conditions particularly affecting prisoners as a class.\(^{40}\)

### 2.4.11 Mentally challenged

- Make clear that the participation of mentally challenged individuals in the research is critical to the realization of the research objectives and that they would eventually derive benefit from it.
- Respect the right of parents or other legal guardians to be informed or to give their assent for inclusion of the (mentally challenged) individual in the study.\(^{41}\)

### 2.5 Responsibilities of the Researcher/s to Future Researchers

- Ensure that the community will not be misused or abused in the course of conducting the research so as to keep the Ateneo de Davao University and future researchers in good standing.
- Refrain from doing any act that will cast doubt on the Ateneo de Davao University’s integrity as a learning and research institution.

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\(^{40}\) Mantaring.

\(^{41}\) Guidelines for Research on Reproductive Health.
2.6 Responsibilities of the Researcher/s to the Review Committee

a. Show proof that they understand the comments of the Peer Review Committee (PRC).
b. Direct the PRC to the part of the researcher/s’ text (if present) that responds to the comment/s or question/s.
c. Inform the PRC how they would enhance the text accordingly should there be something missing or if there is a gap.
d. Present to the PRC grounds for their disagreement with the committee’s comments.

2.7 Responsibilities of the Researcher/s to the Ateneo de Davao University

a. Comply with the requirements and procedures on the university in the conduct of research.
b. Implement the research undertaking with due regard to the university’s Ethical Guidelines for Research and the university mission.
c. Proceed with the research undertaking without compromising other university assignments.
d. If possible, develop materials or mechanisms that deliberately connect research output with instruction and community engagement.
e. Accomplish the research project within the terms and conditions set in the contract.

2.8 Responsibilities of the Researcher/s to One’s Self

a. Take all necessary precautionary measures in preserving one’s health, security, and life in the course of doing the study.
b. Update the university and family members of one’s whereabouts at the instance when the research activities would demand going to places other than the regular place of work or study.
c. Conduct one’s self in a manner so as not to compromise one’s integrity and honor as a researcher and as a person.

2.9 Responsibilities of the Researcher/s in a Community-Based Collaborative Research

a. Ensure that research priorities and objectives consider the benefit of the community and include sharing of empowerment skills. If possible, the community shall be adequately involved in the design, conduct, analysis of research, and reporting of its results.
b. Undertake adequate pre-research activities that would allow the community to understand the nature, purpose, and background of the study as well as the biases of the researchers, and for the team to also understand the local social,
cultural, and political contexts such as being aware of past and present ‘hurts’ or cultural differences that may affect how the research is perceived or accepted.  

c. Create a mechanism comprising of the researchers, their respective institutions, community representatives, and concerned stakeholders that will serve as an advisory panel to the research team. This body will help the research team in determining the propriety of its action and appropriateness of its field procedures relative to the context of the involved community. The same shall likewise be consulted if necessary whenever problems related to immersion arises.

d. Ensure that a representative cross-section of community experiences and perceptions are included in the study.

e. Conduct research in a manner that respects the local community including its functions, culture, and members’ privacy.

f. Avoid harming a community and be sensitive to long-term repercussions and conflicts surrounding negative assessments.

g. Maintain the accuracy and integrity of their data.

h. Be open to the community’s feedback on what they perceive to be the researcher’s pre-conceptions and prejudices and listen respectfully to the perception of their approach.

i. Distribute the results of the community research as widely as possible within the participating communities in a manner understandable to them.

2.10 Responsibilities of the Researcher/s in Conducting Electronic and/or Online Research

The conduct of electronic and/or online research is a new development. Given the newness of this type of undertaking, researchers are required to keep themselves updated and open to the ethical norms evolving in this domain, bearing in mind the university’s universal and institutional ethical principles in doing research as guide.

The following guidelines may be instructive:

a. The greater the acknowledged publicity of the venue, the less obligation there maybe to protect individual privacy, confidentiality, right to informed consent, etc.

b. The greater the vulnerability of the author/subject the greater the obligation of the researcher to protect the author/subject.

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42 The Royal Commission on Aboriginal Peoples.
43 Ibid.
44 Ibid.
c. Determining the requisite for informed consent is context dependent and requires particular attention to the fine-grained details of the research project from its inception to its subsequent development.47

d. Before the start of a study, the researchers must decide whether the subjects’ identities will be disguised and, if so, to what degree. Note that the use of pseudonyms functions similarly to real names, and should be treated in the same way one treats real names.

e. If a study is likely to record illegal or socially undesirable activity, a certificate of confidentiality should be obtained.

2.11 Responsibilities of the Researcher/s in Biodiversity Research

2.11.1 Research in field ecology

*Categories of research.* Research is classified into:

a. Non-extractive non-commercial research.
b. Extractive but with primarily non-commercial research.
c. Non-extractive research with possible commercial potential.
d. Extractive research intended for commercial development.
e. Conservation research intended for protection of biodiversity.

*Guidelines for research.* These guidelines are intended for research in field ecology.

a. Prior research. Perform a thorough literature and online search to:
   1. Ensure that the proposed research does not simply reinvent the wheel.
   2. Obtain as much existing information as possible regarding the species of interest and related ecological questions.

b. Approval/permit
   1. Secure written approval and necessary permits from concerned authorities and government agencies like the Philippine Animal and Wildlife Bureau (PAWB), National Commission on Indigenous People (NCIP), and Protected Area Management Bureau (PAMB).
   2. Comply the provisions involving the new varieties of plant as stipulated in the Republic Act No. 9168.
   3. Coordinate access in the area with concerned authorities.
   4. Consult with a statistician while designing the studies to ensure proper replication and sample sizes, or to explore alternative statistical analyses (e.g., Bayesian approaches) that will permit unambiguous interpretation of the resulting data. In addressing small or tenuous populations, it is imperative to

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design experiments that will permit sufficient statistical power to distinguish among alternative hypotheses.\(^{48}\)

c. The Research plan/proposal must include the following points:

1. Include information on the intended duration of the project.
2. Explain any ecological impacts of the experimentation.
3. Illustrate the conservation benefits of the research.
4. Demonstrate that impacts from visits and manipulation will be minimal.
5. Demonstrate that the research is technically and statistically feasible.
6. Be forthright about limitations and constraints in data collection and interpretation.
7. Establish the preparedness, experience, and trustworthiness of the investigator(s).\(^{49}\)

d. The Research design must be non-invasive in nature, or at least minimally invasive, and with no long-term impact on natural communities or population.\(^{50}\) The objective is to minimize damage to the viability of the populations. The following practices are used:

1. Place the emphasis on observational studies rather than manipulations. If manipulations are necessary, use a small but informative sample size and situate experiments at the most resilient and protected sites.
2. Take into account the habitat matrix when designing the study and performing site visits.
3. Minimize negative impacts associated with conducting research on the preserves by proper use of vehicles and equipment, and careful selection of study areas, schedules and personnel.
4. Minimize the number of researcher visits that must be made.
5. Avoid transporting any potential competitors, predators, invasive species, or genes from other populations of the species among sites. Before entering a new population, inspect your clothes, shoes, and hands for seeds or insects that you may have moved between sites.
6. Plants that are propagated as part of the research should not be reintroduced into the wild unless they are part of a specific, approved reintroduction/augmentation plan.\(^{51}\)

i. Documentation

1. Provide full documentation of all aspects of field site conditions, and the specie, its population status, potential and actual threats, comparisons with prior years (if known).


\(^{49}\) Ibid.


\(^{51}\) Ibid.
2. Make sure that methods are well-documented and repeatable, permitting replication in future studies; maintain detailed metadata.

j. Collection of field samples. Since sampling is crucial as this could be the measure of validity of data later on, an experienced researcher who is trained on collecting samples is a must. Trained samplers can include members of the community since they are familiar with the terrain and other cultural practices.

1. Secure written approval from concerned authorities before collecting plants, animals, rocks, minerals, or parts thereof (living or dead).
2. Make sure that researchers have knowledge of all regulations pertaining to the collection of plants or animals under study and must obtain any necessary permits prior to collection.
3. Be equipped with knowledge in experimental methods and in the maintenance, and handling of the species being studied. This implies that responsibilities and activities of all individuals dealing with animals should be consistent with their respective competencies, training, and experience in either the laboratory or the field setting.
4. Recognize that local communities should have a greater say in determining how biodiversity is studied, extracted and commercialized.
5. Consider prior informed consent to be a necessary requirement of such explorations, as is equitable sharing of any benefits arising from them.
6. Collect conservatively or discriminately, taking only the amount necessary to complete the project. Where a voucher is appropriate, researchers should collect only a single individual. If a number of individuals must be collected, neither the survival nor reproductively of the population should be threatened. Carefully consider the cumulative effect of research and teaching efforts on the population. If the preserve population is small (< 25 individuals), researchers can only photograph the organism for field documentation. Collecting rare plants or animals from very small populations is prohibited.
7. Gather in a discreet manner, away from roads, trails, and developed areas unless specified. Minimize damage to the physical site by restoring soil and litter to original condition.52

k. Clean-up. The researchers must minimize any long-term impacts of the study through the performance of these acts:

1. Following completion of the study, all equipment, labels, enclosures, and other materials associated with the research must be removed from the field sites and the sites restored as needed, unless an explicit plan has been developed for long-term monitoring.
2. Ideally, a follow-up visit should be made to the site in the following growing season to document any lasting impacts on the population size, vigor of plants, and presence of threats (i.e., invasive species introductions).53

m. Involvement and negotiation. In negotiations, the researcher:
1. Must take a reasonable effort to identify and negotiate with those who have the proper authority to negotiate (note that sometimes this may include the entire community).
2. Should conduct initial discussions with small groups (but obtain final approval from higher legitimate authority wherever applicable).
3. Should consider, where there is no existing authority or capacity for such negotiations, helping the community develop the institutional capacity to appraise and (if it chooses) enter into such agreements.
4. Should be willing to provide copies of relevant project documents, project proposal, preferably including the project budget.
5. Must disclose commercial interest or other possible interest of present or potential third parties.
6. Should include a local institution as partner in research, where an appropriate one exists, and, if appropriate, local collaborators.
7. Should consider drawing up a collaborative agreement.
8. If such an agreement is made, the researcher should consider depositing a copy of it with a relevant regional or sub regional body.
9. Should ensure that the actual entity directing the research is a party to the agreement whether they are carrying out the work themselves or through contractors.\textsuperscript{54}

\textit{n. Compensation and other terms of access}

1. The researcher must make every effort to ensure that providing communities and counterpart institutions will share equitably in the benefits.
2. The researcher should make every effort to develop effective mechanisms for benefit-sharing if none currently exist (recognizing that no proven universal methods exist, and that cultural and other circumstances will vary widely from case to case).

The parties should arrive at the scope, extent and form of compensation, keeping all the following stages; however, in case of a book, film, or other such products n.1 and n.2 may not apply.
\begin{itemize}
  \item a. When accessing is done.
  \item b. When a new product use is discovered.
  \item c. When a product is developed.
  \item d. When the product is commercialized.
\end{itemize}

3. Arrangements for compensation should incorporate the following obligations:
\begin{itemize}
  \item a. The community's right to any organism or part thereof extracted by any biotechnological or other method must not be exhausted merely by publication or collection. The community can assign

\textsuperscript{54} Ibid.
these rights or associated intellectual property rights (IPRs) to anyone it feels appropriate.
b. The community has the right to refuse collection by any researcher even after the initial research has shown its utility.
c. Any research collecting from an alternative location/community/species/country should take into account the contribution of the original source in generating commercial returns.
d. Profit sharing from commercial production should have the same duration as the period of patent protection for the property or form of accessed material being commercialized.
e. At stage 2.b and 2.c above, researchers must consider sharing with the source community the terms of profit-sharing from commercialization, even when knowledge is provided by an emigrant belonging to that community.
f. Researchers should consider helping to set up local community-managed institutional funds or other augmentative mechanisms for local community development in cases where individuals/communities refuse(s) monetary compensation.55

2.11.2 Responsibilities of the researcher/s in conducting research involving animals56

In the planning and design of experiments, the researcher/s should consider these points:

1. Animals should be used for experiments only when effective non-animal alternatives are unavailable.
2. When the use of animals is necessary, all means must be exerted to use the least sentient of animals and to apply the most refined experimental procedures.
3. The experiments must be designed in such a manner that the minimum number of animals will be used and that the outcome would be reliable and reusable.57
4. The study protocol must be comprehensive and sufficiently detailed for all involved to be able to use it as a concise statement of the objectives of the experiment, as a complete guide to their responsibilities, to the husbandry of the animals used, the work to be done, observations to be recorded, how they are to be analyzed and the actions to be taken in any likely eventuality. In appropriate circumstances, it will also have to contain details required to meet legal and other regulatory controls.
5. All surgical and invasive procedures and intra-cardiac blood extractions require anesthetization of the animal.

55 Ibid.
57 Appendix G.
6. In principle, no animal should be allowed to experience excessive pain and distress.

7. Euthanasia should be done rapidly and painlessly for it to be humane. To achieve this end, personnel performing the procedure should be well-trained in the application of acceptable techniques. All surgeries should be under the supervision of a licensed veterinarian. No animal should be subjected to more than two major survival experimental surgeries (major surgeries that penetrate and expose a body cavity or produce substantial impairment of physical or physiologic function). An interval of at least one month should be allotted between major surgeries. Approval of the second survival surgical procedure should depend on the health condition of the animal (including acceptable general health condition, activity, and hematological and blood chemical values).

8. Reuse of animals may be encouraged provided it is decided rationally (depending on the severity of the scientific procedures and the ability of the animal to fully recover from the treatments).

9. Animals should be physically affixed with a permanent identification in accordance with standard methods. Identification cards should correspondingly be affixed on animal cages. All records pertaining to the care and use of the animals and the management of the animal facility should be properly archived.

10. In the disposal of dead animals, the researcher should follow these steps:

   a. It is essential to ensure that animals are dead before disposal. Animals must be kept and observed for sufficient time to be certain that all signs of life have ceased. To be sure, the animal’s neck may further be dislocated or the animal exsanguinated even after other forms of euthanasia have been applied.

   b. Animals should be disposed of by cremation. Alternatively, the animals can be autoclaved prior to disposal. Infected, toxic or radioactive carcasses must be disposed of in such a manner that will not present a hazard to the general public.

   c. Other materials used with the infected animals (needles, syringes, etc., including bedding materials) need to be decontaminated also prior to disposal.

   d. Decontaminated animal carcasses and other infected materials may then be disposed of with the general wastes.

   e. Animal carcasses must be placed in properly labeled plastic bags prior to disposal. Non-infectious waste must be separated from infectious waste.

   f. If the carcasses cannot be disposed of immediately, these should be temporarily stored in a freezer used for this purpose.

   g. Whenever feasible, animal carcasses can be buried in a pit deep enough not to be dug up by scavenging animals. The filling of the
pit should be enough to prevent rain water or flood water from washing it away.

h. Healthy, unused excess or to to-be-culled laboratory animals may be sold or donated to other institution (other research or teaching institution, zoos, etc.) provided these animals are certified free from hazardous materials.\textsuperscript{58}

SECTION 3: RESPONSIBILITIES OF THE FUNDING PARTNERS/ SPONSORS

The responsibilities of the funding partners/sponsors include but are not limited to the following:

a. The research proposal respects the dignity, rights, safety and well-being of the participants and their relationship with professionals.
b. The research proposal is of high quality and is endorsed by an appropriate research, scientific, and ethics committee.
c. The principal researcher and other key researchers have the necessary expertise and experience and have access to the resources needed to conduct the proposed research successfully.
d. The arrangements and resources proposed will allow the collection of high quality and accurate data and the systems and resources being proposed are those required to allow appropriate data analysis and data protection.
e. IPRs and their management are appropriately addressed in research contracts or terms of grant awards.
f. Arrangements proposed for the work are consistent with the university research governance framework and agenda.
g. Organizations and individuals involved in the research agree on the division of responsibilities between and/or among them.
h. There is a clear written agreement identifying the organizations and individuals responsible for the ongoing management and monitoring of the study.
i. Arrangements are in place for the sponsorship and other stakeholder organizations to be alerted if significant developments occur as the study progresses, whether these developments are in relation to the safety of individuals or to scientific direction.

j. Author/s, researcher/s, and staff must be covered by appropriate insurance.
k. Arrangements are provided for the dissemination of the researcher’s version of the findings in journals and other publications.
l. All scientific judgments made by the sponsor in relation to responsibilities set out here are based on independent and expert advice.

SECTION 4: RESPONSIBILITIES OF THE ATENEO DE DAVAO UNIVERSITY

The responsibilities of the Ateneo de Davao University include but are not limited to the following:

\textsuperscript{58} Ibid.
a. To refrain from undertaking secret or classified research.
b. To create and maintain an environment with adequate support systems that would enable researchers to faithfully fulfill their study in an ethical manner.
c. To provide ample support for continuous capacity-building of researchers, faculty, and members of the Scientific and Ethics Committee.
d. To guarantee that the research team has appropriate and sufficient knowledge and competence in dealing with the subject of research.
e. To take appropriate and adequate steps for protection against pressures inimical to the observance of ethical guidelines for research.
f. To respect the autonomy of researchers.
g. To make certain if the situation so requires that somebody with experience in dealing with or caring for concerned vulnerable groups or someone who has the perspective of the group is included in the research team and review board.
h. To make sure that the research does suffer from any legal infirmity. However, should it arise, the university must stand in defense of its researchers provided that the concerned research has complied with all the requirements of an institutional research.
i. To promote an environment, health, and safety compliance efforts, which include a provision for health insurance coverage of its researchers and the research team.
j. To advance public awareness and understanding of ethics in research.59
k. To ensure that individuals under their management have the authority and support to implement health and safety policies, practices, and programs.60

SECTION 5: MISCONDUCT IN RESEARCH AND SANCTIONS/PENALTIES

The university is expected to observe the highest standards of ethical practice in all areas of its work including research. Faculty members as well as its researchers are primarily expected to hold the value in deep esteem. Research misconduct represents a serious deviation from this norm, the university rules, and the standard practice of the scientific academic community. Hence, the Ateneo de Davao University stipulates this policy, its corresponding sanctions and penalties, and the procedures to be observed in dealing with research misconduct.

5.1 Definition of Misconduct in Research

Research Misconduct is defined as fabrication, falsification, or plagiarism in proposing, performing, reviewing research, or in reporting results. Research misconduct includes, but is not limited to the following acts:

a. Fraud pertains to the falsification of data and/or research results.

59 Center for Inquiry into Health.
b. Plagiarism is committed through any of the following acts:

   b.1 use by one person of another’s work without permission and/or without due
      acknowledgement from the author thereof.\(^{61}\)

   b.2 practice of dishonestly claiming original authorship of material which one
      has not actually created, such as when a person incorporates material from
      someone else’s work into one’s own work without attributing it to its
      source.\(^ {62}\)

c. Breach of confidentiality refers to the unauthorized use of confidential
   information, or privileged communication by another.

d. Misuse of research funds acquired solely for the conduct of research such as the
   unauthorized use of funds for expenditures not covered by the donor or grantor
   of the funds.

e. Conflict of interest arises when a member (or members) of the Ethics Review
   Committee (ERC) or of the Scientific Review Committee (SRC) holds interests
   with respect to specific applications for review that may jeopardize his/her
   ability to provide a free and independent evaluation of the research focused on
   the protection of the research participants. Specifically, this may arise when the
   Ethics Committee (EC) members have financial, material, institutional, or social
   ties to the research.\(^ {63}\)

5.2 Requisites of Research Misconduct

   a. The misconduct must be a significant departure from accepted practices of the
      relevant research community (i.e., the humanities, social science, or scientific
      community).

   b. The misconduct must be committed freely, voluntarily, deliberately,
      intentionally, knowingly, or recklessly.

   c. The allegation of misconduct must be proven by substantial evidence.

5.3 Principles and Procedures to Address Research Misconduct

The pursuit of all complaints of research misconduct must be carried out carefully
and thoroughly. It must be acted upon as promptly as possible to resolve all
questions regarding the integrity of the research and the involvement of individual/s
in the complaint. The following principles and procedures will govern the
investigation and resolution of the complaint/s of research misconduct.

\(^{61}\) University of Toronto Faculty.


\(^{63}\) National Ethical Guidelines for Health Research, 2006, 72.
5.3.1 Principles to be observed in dealing with research misconduct

5.3.1.1 Complaints of research misconduct should be taken seriously.
5.3.1.2 The principle of due process of law provided for in the Philippine Constitution and embodied in the College Faculty Manual and the University Research Manual shall be the overall guide in the conduct of the investigation of the complaint.
5.3.1.3 Complaints of misconduct in research may be initiated at any time.
5.3.1.4 The highest possible degree of confidentiality should be maintained.
5.3.1.5 Those involved in the investigation of research misconduct should be treated with respect and fairness.
5.3.1.6 All proceedings should be conducted in a timely manner and proper documentation be followed.
5.3.1.7 The severity of the sanctions for unethical conduct in research depends on the gravity of the act committed as evidenced by the result of the investigation.64

5.3.2 Procedure to address a complaint of research misconduct

5.3.2.1 Any complaint regarding alleged research misconduct shall be made in writing and filed with the head of the office that is in-charge of the research. However, when the subject of the complaint is the referred head of office, the complaint shall be forwarded to the immediate superior who immediately exercises direct supervision over the former.
5.3.2.2 Upon receipt of the complaint, the concerned head of office shall immediately notify in writing the director of the Research and Publication Office (RPO) through the Office of the Dean (if the research is with the academic office/s) regarding the matter.
5.3.2.3 The director of RPO shall then convene the ERC to determine whether or not a breach of ethical norms has occurred.
5.3.2.4 The ERC shall convene and conduct the investigation; the result of the investigation and its corresponding recommendation shall be submitted to the director of RPO.
5.3.2.5 The director of RPO shall forward the same to the dean of the college/school where the research project falls under.
5.3.2.6 The dean shall promptly inform the parties concerned of the findings of the investigation.
5.3.2.7 The decision may be appealed to the University President whose decision on the matter is deemed final and irrevocable.

5.3.3 Actions to be taken

5.3.3.1 The nature of the sanctions for unethical conduct will depend on the results of the investigation.

64 University of Toronto Faculty.
5.3.3.2 The ERC shall seek ways to help the investigator re-establish acceptable standards. If the investigator cannot or is unwilling to re-establish acceptable standards and that this problem cannot be resolved by a discussion between the investigator and the ERC, it is the responsibility of the said committee to notify the granting body.\footnote{Ateneo de Davao University Research Manual, 2006, 35.}

5.3.3.3 The committee shall determine the gravity of the research misconduct committed and the degree of the researcher’s culpability. It shall also determine the appropriate sanctions to be enforced.

5.3.3.4 The sanctions can be a direct reprimand or admonition, an educative letter or warning by the immediate superior, or a more severe disciplinary action such as a suspension or termination from employment.

SECTION 6. TERMINATION OF RESEARCH

The ERC, depending on the result of its investigation, may recommend for the termination of the research undertaking. The concerned school authority, upon receipt of such recommendation, must discuss the matter with the office or the institution that commissioned the research. The decision to terminate the research must be made by the concerned parties who entered into the contract to do the research.

SECTION 7: ETHICS REVIEW COMMITTEE (ERC)

7.1 The ERC shall review commissioned researches initiated by and/or contracted by the university.

7.1.1 Values to be observed by an ethics reviewer\footnote{National Institutes of Health Office.}

7.1.1.1 Intellectual honesty
   a. to accept the role and duties of ethics reviewer only for the research in the fields one has adequate knowledge and expertise.
   b. to keep confidential and not use for competitive gain privileged information or ideas obtained through peer review.

7.1.1.2 Objectivity
   a. to take the task as an ethical duty to be performed objectively, impartially, and constructively.

7.1.1.3 Confidentiality
   a. to treat a manuscript sent for review as a confidential document.

7.1.1.4 Respect
a. to refrain from giving personal criticisms.
b. to regard fellow members of the committee with respect.

7.2 **Functions/Responsibilities of the ERC**

All proposals for research must be submitted for review and approval of the ERC who is responsible for carrying out the review of research proposals before the commencement of the research, “taking into consideration a) the full interest of potential research participants and concerned communities; b) the interests and needs of the researchers; and c) the requirements of these guidelines and other relevant regulatory agencies and applicable laws.”

Specifically, the functions/responsibilities of the ERC shall include the following:

a. to scrutinize the ethical soundness of research/research proposals. The review committee shall assess the quality of research and assess its importance.
b. to ensure a well-justified, well planned, appropriately designed, and ethically approved research.
c. to evaluate the conduct of research in their institutions in accordance with international, national, and institutional guidelines; local laws; standards of professional conduct and practice; and community mores, values, and needs.
d. to refrain from having interest, pecuniary or otherwise, over the idea presented in the paper being reviewed.
e. to promote research integrity by identifying and resolving conflicts of interest.
f. to establish appropriate mechanisms in all stages of the research:
   f.1 to ensure the safety, protect the rights, and promote the welfare and well-being of human participants.
   f.2 to provide counsel to human participants, including the proponents and researchers.
   f.3 to ensure prompt reporting of changes in the protocol and unanticipated problems.
   f.4 to ensure the proper documentation of and adherence to the confidentiality rule and policy on informed consent.
   f.5 to monitor the progress of ongoing research.
g. to report to the institutional or national authorities any matter that affects the conduct and ethics of research which in its view may affect the rights and safety of research participants.
h. to keep a systematic and organized record of all proposals reviewed, including actions taken and other pertinent information.
i. to explain and support the judgments in such a way that the author of the paper understands the basis of the comments.

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67 World Health Organization Operational Guidelines for Ethics Committees that Review Biomedical Research, 2000. In the Philippines, the regulatory agencies include PNHRS-PHREB, DOH-BFAD, and the National Committee on Bio-safety.
j. to judge objectively the quality of the research reported and respect the intellectual independence of the authors.

k. to submit to the University President through the RPO a copy of its annual report that shall include a record of all proposals reviewed, including actions taken and other pertinent information.

7.3 Structure of the ERC

7.3.1 Composition

Membership in the ERC shall be multidisciplinary and multi-sectoral, e.g., medicine, research, theology, social or behavioral sciences, law, philosophy, environmental science, public health, and the local community. The committee shall be composed of four (4) permanent and three (3) non-permanent members. Age and gender distribution should be considered in the selection of its members. It should include one member without disciplinal constraints who will represent the interests and concerns of the community and who is independent from the institution or research site. Likewise, it should include one who would be able to speak on a range of cultural and ethical values. It should have a member who is familiar with the context or who shares the perspective of the special group being studied. In addition, there should be an adequate support staff for carrying out the committee’s responsibilities.

7.3.2 Appointment

The RPO, in consultation with the University Research and Publication Committee (URPC) and the office/s from where the research proposal has originated (in cases of non-permanent members), shall recommend to the University President the names of those who may become officers and members of the ERC. It is the University President who shall appoint the officers and members of this committee.

The appointing official shall indicate their functions, terms of office, scope of work, conditions of appointment, and compensation, if any.

The procedures for renewal of appointment, resignation, replacement; grounds for disqualification; and procedures in regard to conflict of interest due to financial gains shall be included in the manual of standard operating procedures.

Prior to serving as a regular member, each member of the ERC will sign a confidentiality agreement and a disclosure contract as a reviewer which states that he/she has no conflict of interest in the given research.

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68 ADDU Research Manual, 32.
The appointing official should consider a fixed rotation system for members that allows for continuity, for the development and maintenance of expertise within the committee, and for the regular input of fresh ideas and approaches.  

7.3.3 Term of membership in the committee

The permanent members shall serve for a fixed term of three (3) years renewable for another term unless a cause for termination of membership shall arise.

The non-permanent members shall serve within the duration of time for which their services are sought.

7.3.4 Meetings

The review committee should meet at least twice a year.

Meeting should be held at advertised dates and times so that investigators know well in advance when to submit proposals for review. The holding of regular meetings encourages the review committee, in addition to its primary function of reviewing proposals, to take part also in other activities. Such activities include the preparation of local guidelines for research proposals, the review of training programmers in which ethical issues arise, and the convening of broader meeting both within the institution and the community to discuss specific research or ethical issues.

The review committee should keep an agreed, written record of decision made at each meeting. It constitutes objective evidence of review decisions, which may be consulted, should there be queries from any source in the future.

7.3.5 Rules and procedures to be observed in the conduct of review

a. To facilitate the work of the Technical Review Committee (TRC) convened by the RPO, the respective deans in coordination with the concerned division/s or program/s shall require the researcher/s to hand over the complete research proposal in standard format.

b. The dean shall issue a written certification to this effect with comments regarding possible administrative requirements that will be needed by the researcher.

7.3.6 Meetings and deliberations

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69 WHO Operational Guidelines.
70 ADDU Research Manual, 33-34.
71 Ibid., 34.
a. The ERC shall regularly meet on a schedule that is determined based on the research cycle of the institution. There shall be a provision for holding special meetings to consider urgent matters as decided by the chairperson.

b. More than half of the members shall constitute a quorum, which should include one with expertise in a non-scientific area and at least one member who is independent of the institution or research site.

c. Deliberations of the committee shall be characterized by transparency and collegiality. A member who is involved in whatever capacity in the study/project under consideration should so inform the committee and his/her further participation in the deliberations must be determined accordingly.

d. As much as possible, the decisions shall be made by consensus.

7.3.7 Training and continuing education of the ERC members

a. Members of the ERC shall undergo continuing training on the ethics and science of biomedical research.

b. Initial training must be required of new members.

c. Continuing educational activities for the members must be held at least once a year. These may be linked with those of other ethics committees within the province or region.

7.4 The Research Ethics Review Process

All proposals for the conduct of biomedical and behavioral researches involving human subjects shall be clearly formulated in a research protocol to be handed over to the ERC for consideration, comment, guidance, and approval. The review must be transparent, timely, and reasonable. Each ERC shall indicate a timeframe for completing the review process and shall provide the proponent initial feedback within four (4) weeks from receipt of all required documents.

7.4.1 Required documents

The following documents must be handed over to the ERC:

a. Application for review.

b. Research protocol that includes the title of the proposal, background of the study, rationale, objectives, research design, inclusion and exclusion criteria, and safety information.\(^\text{72}\)

c. Written information to be provided to the research participants, which shall include the objectives and significance of the research, the nature of their participation, their rights, privileges, and obligations, the risks involved, and the benefits, including payment of trial-related expenses.

\(^{72}\) National Institutes of Health.
d. Written informed consent in English, together with its translation in Filipino or in any dialect understandable to the participants.\(^{73}\)

e. Safety information (e.g., safety precautions, contact persons in case of emergency situations or adverse events and their contact telephone numbers).

f. Procedure for participant requirement, including advertisements.

g. A section on ethical considerations (e.g., anticipated risks and potential benefits, minimized or controlled risks, confidentiality of data, and protection of the privacy of participants).

h. Researcher/proponent’s qualifications (e.g., curriculum vitae). If a conflict of interest exists, the researcher/proponent shall formally disclose this.

i. Information regarding funding, sponsors, institutional affiliations, other potential conflict of interest, and compensation for the subjects.

7.4.2 ERC

a. The ERC shall have a standard operating process available to the researchers and stakeholders.

b. The chairperson of the committee shall schedule a research review meeting within four (4) weeks from submission of the required documents.

c. Copies of all documents to be reviewed shall be provided to all members of the committee.

d. The members of the committee shall be provided sufficient time to study and comment on these documents.

e. A quorum shall include a balanced composition of the committee members (e.g., number, gender, and expertise). When a meeting is called, the quorum shall be set and the attendance of members recorded.

f. The minutes of the meeting, including all actions taken, shall be properly documented. The minutes of the meeting and other records shall be kept at least three (3) years from the completion of the study or such number of years as required by the official agencies or institutions.

g. The committee may invite the researcher/proponent to clarify certain issues.

7.4.3 Action on proposals

a. The ERC shall inform the researcher/proponent in writing of the committee’s action, which may be any one of the following:

1. Approval
2. Conditional approval with modifications, or
3. Disapproval

\(^{73}\) Appendix A.
b. The ERC shall include in its letter to the researcher/proponent the following information:

1. Title of the proposal reviewed (revision/amendment, date, version number).
2. Name of the researcher/proponent.
3. Documents reviewed.
4. Name of review site.
5. Date and place when the decision was made.
6. Names of the members of the ERC who made the decision.

c. In case of approval, the ERC shall inform the researcher/proponent in writing of the committee’s requirements for approved researches that must be complied with during the conduct of the research. These shall include the following:

1. Report of serious and/or unexpected adverse event/s (SAEs) related to the conduct of the research within a timeframe required by the committee (e.g., 24 or 48 hours after occurrence).
2. Report of SAEs from other study sites or centers and a justification for the continuance of the research.
3. Approval of the committee of any major change, deviation, or amendment to the approved protocol.
4. Approval of any revision in the informed consent form.
5. Progress report at least once a year or as requested by the committee.
6. Notice and justification of termination of the research before its anticipated completion date.

d. In case of conditional approval with modifications, the committee shall describe clearly the required modifications.

e. In case of disapproval, the committee shall state clearly its objections and the reason/s for its disapproval. The committee may also include its recommendations for improvement.

7.4.4 Approval for reconsideration

In case of an unfavorable decision, the investigator/proponent may make oral or written representation to the ERC for reconsideration of the research proposal.

7.4.5 Withdrawal of prior approval

Prior approval may be withdrawn for any one of the following reasons:

a. Serious or adverse events directly or indirectly attributed to the research; or
b. Breach of previously agreed-upon conduct of the research.
7.4.6  Completion of the research

Upon completion of the research, the researcher/proponent shall inform the ERC in writing that the study has been completed and shall furnish the committee a copy of the final report.

Glossary

Cura Personalis.  Concern for the individual person. Each man or woman is personally known and loved by God. This love invites a response which, to be authentically human, must be an expression of a radical freedom. Therefore, in order to respond to the love of God, each person is called to be:

- Free to give of oneself, while accepting responsibility for and the consequences of one’s actions: Free to be faithful.
- Free to work in faith towards that true happiness which is the purpose of life: Free to labor with others in the service of the Kingdom of God for the healing of creation.

Freedom includes responsibilities within the community. “Cura personalis” is not limited to the relationship between teacher and student; it affects the curriculum and the entire life of the institution. All members of the educational community are concerned with one another and learn from one another. The personal relationships among students, and also among adults – lay and Jesuit,
administrators, teachers, and auxiliary staff – evidence this same care. A personal concern extends also to former students, to parents and to the student within his or her family.74

Magis. Human Excellence. “Doing One’s Best for God.” Repeatedly, Ignatius insisted on the “magis” – the more. His constant concern was for greater service of God through a closer following of Christ and that concern flowed into all the apostolic work of the first Jesuit companions. The concrete response to God must be “of greater value.”

“More” does not imply comparison with others or measurement of progress against an absolute standard; rather it is the fullest development of each person’s individual capacities at each stage of life, joined to the willingness to continue this development throughout life and the motivation to use those developed gifts for others.75

Vulnerable Populations. These populations include the following:

a. People who are absolutely or relatively incapable of protecting their interest.
b. Those who have insufficient power, prowess, intelligence, resources, strength or other needed attribute to protect their own interests through informed consent.
c. Each person when measured against the highest standards of capability is relatively vulnerable.76

75 Ibid., sections 105, 109.
Appendix A

Informed Consent

1. Freely given informed consent shall be obtained from all human subjects. Potential participants should be informed, in a manner and in language they can understand, of the context, purpose, nature, methods, procedures, and sponsors of the research. Research teams should be identified and contactable during and after the research activity.

2. There should be no coercion. Participants should be fully informed of their right to refuse, and to withdraw at any time during the research.

3. Potential participants should be protected against any and all potentially harmful effects and should be informed of any potential consequences of their participation.

4. Informed consent shall be obtained from all persons and groups participating in research. Such consent may be given by individuals whose personal experience is being portrayed by groups in assembly or by authorized representatives of communities or organizations.

5. Consent should be obtained in writing. When this is not practical, the procedures used in obtaining consent should be recorded.

6. Information that could affect a respondent’s willingness to participate should be available in appropriate accessible formats and never deliberately withheld, but it is also inappropriate to overwhelm potential participants with unnecessary information.

7. To make sure that the potential benefit to the participants and society in relation to the risk to be borne by the participants are considered based on the best scientific and moral judgment.

The issue of informed consent is crucial in all aspects of social research but particular requirements have to be met relative to peculiar context particularly of those within the category of vulnerable groups.

1. When conducting research with children and young people, or participants who may be unable to participate directly, careful consideration can be given to using a proxy, such as a parent or caregiver. However, it is essential that the role and responsibilities of proxies in any study are clearly explained and understood by all involved.

2. The use of signed consent forms might also exclude some disabled people, and could also compromise confidentiality and anonymity. Alternative methods of obtaining consent may therefore be necessary. In some studies, particularly qualitative or participatory types of research, it may be necessary to revisit consent during the course of the research. The amount of information and the nature of consent required need careful consideration in every research study.

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3. In cases of researches that use online data, such can be freely quoted or analyzed without consent if, it is officially, publicly archived, no password is required for archive access, no site policy prohibits it, and the topic is not sensitive.

4. Consent maybe obtained electronically if:

   a. Research participants are 18 years of age or older;
   b. The online consent form steps people through each sub-element, one at a time;
   c. The risks to subjects are low;
   d. Otherwise, written consent must be obtained with the research participant’s signature on said paper and returned to the researchers via surface mail or fax.
Appendix B

Features of Feminist Research Ethics

A. Reaffirmation of old research ethics concerns such as:

A.1 Benefit and reciprocity. The concern for benefit refers to women having the opportunity to speak, to be heard thus breaking the silence; the concern for reciprocity calls for researchers that serve the interest of the dominated, exploited, and oppressed groups.

A.2 Informed consent proceeds from the notion that collaboration and research participation would not even progress if the participants/collaborators have not initially given their informed consent.

A.3 Privacy and confidentiality. The primary question in this area is, “can research minimize the possibility of serious violation of privacy and abuse of research authority?” given that most of feminist topics on research are on the very private and personal level.

B. Breaking down the research hierarchy refers to the principle of mutual disclosure which compels researchers to be willing to share their own experience with the cooperators if the latter so request.

C. Ethics of personal involvement and participation challenges the traditional notions of detachment of the researcher from the research participant as a requisite for objectivity. Instead, one is encouraged to be conscious and responsible over the possible consequence on the participant of one’s involvement in the research process. Likewise, the researcher should also be sensitive to the impact of such involvement unto one’s self.

D. Liberatory goal of feminist research concerns with the use of knowledge to alter oppressive and exploitative conditions in society. The crucial position is that the research analysis does not re-inscribe the researched into powerlessness, pathologized without agency.

E. Self-reflexivity/avoiding analyst bias requires the researcher to put one’s action under constant scrutiny in the entire research process. This may include ways of making one’s self known in the written text.

F. Ethics in processing data is concerned with the preservation of data as it was gathered from the source.

G. Politics and hierarchy of the research institution in the academe raises the concern for rendering visible the invisible research workers regardless of their sex.

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Appendix C

Proposed Checklist for Determining the Ethical Soundness of the Research

Rating:

<table>
<thead>
<tr>
<th>Rating</th>
<th>Extensive</th>
<th>Moderate</th>
<th>Limited</th>
<th>Missing</th>
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<tr>
<td><strong>Respect for persons</strong> (The research respects and protects the rights and dignity of participants).</td>
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<tr>
<td><strong>Beneficence</strong> (The research makes a positive contribution towards the welfare of the people).</td>
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<tr>
<td><strong>Non-maleficence</strong> (The research does not cause harm to the participants in particular and to people in general).</td>
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<tr>
<td><strong>Social justice</strong> (The benefits and risks of research are fairly distributed among people).</td>
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<td><strong>Essentiality</strong> (The research undertaking shows evidence of adequate consideration to existing literature/knowledge and its relevance, and the alternatives available on the subject/issue under study).</td>
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<tr>
<td><strong>Maximization of public interest and of social justice</strong> (The research is carried out for the benefit of society).</td>
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<td><strong>Knowledge, ability, and commitment to do research</strong> (The researchers show evidence of sincere commitment to research in general and to the relevant subject in particular, readiness to acquire knowledge, ability and skills).</td>
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<td><strong>Respect and protection of autonomy</strong> (The research involving participation of individuals does not only respect, but also protect the autonomy, the rights and the dignity of participants. The participation of individuals is voluntary and is based on informed consent).</td>
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<tr>
<td><strong>Privacy, anonymity and confidentiality</strong> (All information and records provided by participants or obtained directly and indirectly on/about the participants are held confidential. For revealing or sharing information that may identify the participants, permission of the participants is secured).</td>
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<td><strong>Precaution and risk minimization</strong> (Adequate precaution and mitigation of risks are done through the research especially if the research carries some risks to participants and society).</td>
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<tr>
<td><strong>Non-exploitation</strong> (The research does not unnecessarily consume the time of participants or makes them incur undue loss of resources and income. It does not expose them to risks due to participation in the research. The relationship within the research team, including student and junior members, is based on the principle of non-</td>
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exploitation. Contribution of each member of the research team is properly acknowledged and recognized).

**Public domain** (All persons and organizations connected to research shall make adequate efforts to make public in appropriate manner and form, and at appropriate time, information on the research undertaken, and the relevant results and implications of completed research).

**Accountability and transparency** (The conduct of research is fair, honest, and transparent. The institutions and researchers are amenable to social and financial review by an appropriate and responsible social body. Appropriate arrangements for the preservation of research record for a reasonable period for time are done).

**Totality of responsibility** (The responsibility for due observance of all principles of ethics and guidelines devolves on all those directly or indirectly connected with the research. They include institutions where the research is conducted, researchers, sponsors/funders and those who published material generated from research).
Appendix D

Template for Peer Review

Rating:

<table>
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<tr>
<th>Rating</th>
<th>Extensive</th>
<th>Moderately extensive</th>
<th>Limited</th>
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<th>CRITERIA</th>
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<tr>
<td><strong>Title</strong></td>
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<tr>
<td>- Research title is clear and simply worded.</td>
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<tr>
<td>- The major variables of the study are specified in the title.</td>
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<tr>
<td><strong>Rationale/Background</strong></td>
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<tr>
<td>- Problematic situation is presented in the background.</td>
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<tr>
<td>- Research questions/problems help advance knowledge.</td>
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<td>- Research problem is feasible.</td>
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<td>- Major variables of the study are measurable and specified in the problem statement.</td>
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<tr>
<td>- Research problem is ethical.</td>
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<tr>
<td><strong>Objectives</strong></td>
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<td>- Research objectives are clearly stated.</td>
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<td>- Research objectives specify what the researchers want to do and find out.</td>
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<td>- Research objectives are stated in operational terms.</td>
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<tr>
<td><strong>Significance of the Study</strong></td>
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<td>- Significance of the study specify the benefits of the research to various stakeholders.</td>
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<td><strong>Theoretical Framework</strong></td>
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<td>- Theoretical framework guides the researchers in data analysis.</td>
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<td>- Theoretical framework identifies the variables to be measured.</td>
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<td>- Theoretical framework explains why one variable can possibly effect another or why the independent variable can possibly influence the independent variable.</td>
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<tr>
<td>- Theoretical framework limits the scope of data relevant to the framework by focusing on the specific variables.</td>
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<td>- Theoretical framework stipulates the specific frame of mind or viewpoint that the researcher will take in analyzing and interpreting data.</td>
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<tr>
<td><strong>Conceptual Framework</strong></td>
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<tr>
<td>- The conceptual framework is anchored on the conceptual framework.</td>
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</table>
• The conceptual framework explains in detail the variables to be observed in the study.

• The conceptual framework explains in more detail the assumed connection between the independent and dependent variables.

**Review of Related Literature**

• Review or related literature is clear and logically presented.

• Review of related literature provides researchers enough justification for studying a research problem.

• Review of related literature provides a basis in identifying an appropriate research design.

• Review of related literature helps the researchers refine the research instruments.

**Operational Definition of Terms**

• The definition clearly specifies the way the variables will be measured.

• The categories of each variables are mutually exclusive.

• The categories are exhaustive.

**Methodology**

• The research design is ethical.

• The research design is capable of obtaining the most reliable and valid data given all possible constraints.

• The research design is capable of collecting the needed data or measuring whatever it is that happens in the field.

• The research design aids the investigator in making the right conclusions.

• The research design considers the ethical issues, practical and administrative issues and technical issues.

• The sampling allows the researchers to have a reliable analysis.

• The sampling provides desired level of accuracy.

• The sampling reflects the characteristics of the entire population.

• The research instrument is valid.

• The research instrument is reliable.

**Presentation and Analysis of Data**

• The researchers are able to summarize trends and patterns observed in the data.

• The researchers are able to determine major differentials or relationships among variables used in the study and the application of appropriate statistical tests.

• The researchers are capable of explaining the meaning of the data presented in tables.

**Conclusion**

• Conclusions presented are valid.

• Conclusions are clearly stated.

• Conclusions answer the research questions and objectives of the
Recommendations

• Recommendations presented are valid.
• Recommendations are clearly stated.
• Recommendations are specific.
• Recommendations are realistic.
Appendix E

The 3 R’s of Russell and Burch (1959)\textsuperscript{79}

**Replacement:** The substitution for conscious living higher animals of insentient animals/materials such as insects, higher plants, micro-organism, metazoans, tissue cultures, isolated organ systems, and computer models.

**Reduction:** Use of the minimum number of animals to obtain information of a given amount and precision. This can be achieved by enhancing the reproducibility and reliability of scientific data through: 1) the use of genetically, microbiologically, environmentally and behaviorally defined animals; 2) proper experimental designs and statistical analysis (reducing experimental variance by increasing uniformity and sensitivity of animals).

**Refinement:** Any decrease in the incidence or severity of inhumane procedures applied to those animals that still have to be used. This is accomplished by: 1) better surgical techniques together with adequate supportive care before, during, and after surgery; 2) applying less distressful methods of collecting specimens and administering substances by considering frequency, amount, site and route, and methods of restraint; 3) matching procedures with the anatomical, physiological and behavioral peculiarities of the animal; 4) establishing more humane and rational experimental end point, which may be pre-lethal or pre-painful. Examples are: Signs of toxicity instead of death, elevation or lowering of blood glucose instead of total pancreas damage; 5) avoiding reuse of animals; 6) instituting better animal husbandry and environmental enrichment.

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Appendix F

Intellectual Property Rights

1. Intellectual property, often known as IP, allows people to own their creativity and innovation in the same way that they can own physical property. The owner of an IP can control and be rewarded for its use, and this encourages further innovation and creativity to the benefit of us all.

2. Researchers are generally the owners of their intellectual creations. These include the materials developed during the completion of the research. However, the researches initiated by the faculty, including materials developed in pursuit of the research, and supported fully and substantially (at least 75% of the total cost) shall be owned jointly by the university and the researcher/s. The university owns the commissioned researches including materials developed. Ownership of externally funded materials will be governed by the terms of the sponsor’s agreement with the university. In the absence of specific ownership terms for materials in the sponsorship agreement, the materials developed through external funding will be treated consistently with the terms of this policy.

3. IP shall be governed by the Philippine laws whenever applicable.

4. In some cases IP gives rise to protection for ideas but in other areas there will have to be more elaboration of an idea before protection can arise. It will often not be possible to protect IP and gain IP rights unless they have been applied for and granted, but some IP protection such as copyright arises automatically, without any registration, as soon as there is a record in some form of what has been created.

5. The four main types of IP are:
   a. patents for inventions - new and improved products and processes that are capable of industrial application;
   b. trade marks for brand identity- of goods and services allowing distinctions to be made between different traders;
   c. designs for product appearance – of the whole or a part of a product resulting from the features of, in particular, the lines, contours, colors, shape, texture or materials of the product itself or its ornamentation; and,
   d. copyright for material – literary and artistic material, music, films, sound recordings and broadcasts, including software and multimedia.

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6. IP rights are essentially private rights. If someone infringes those rights, i.e., uses material without permission where there is no rule of law that might make such use legal, it is generally for IP right owners to use any remedies available under the law.
Appendix G

International Guiding Principles for Biomedical Research Involving Animals (1985)\textsuperscript{81}

Basic Principles

I. The advancement of biological knowledge and the development of improved means for the protection of the health and well-being both of man and of animals require recourse to experimentation on intact live animals of a wide variety of species.

II. Methods such as mathematical models, computer simulations and in-vitro biological systems should be used wherever appropriate.

III. Animal experiments should be undertaken only after due consideration of their relevance for human or animal health and the advancement of biological knowledge.

IV. The animals selected for an experiment should be for an appropriate species and quality, and the minimum number required, to obtain scientifically valid results.

V. Investigators and other personnel should never fail to treat animals as sentient, and should regard their proper care and use and the avoidance or minimization of discomfort, distress, or pain as ethical imperatives.

VI. Investigators should assume that procedures that would cause pain in human beings cause pain in other vertebrate species although more need to be known about perception of pain in animals.

VII. Procedures with animals that may cause more than momentary or minimal pain or distress should be performed with appropriate sedation, analgesia, or anesthesia in accordance with accepted veterinary practice. Surgical or other procedures should not be performed on unanaesthetized animals paralyzed by chemical agents.

VII. Where waivers are required in relation to the provisions of article VII, the decision should not rest solely with the investigators directly concerned, but should be made, with due respect to the provisions of articles IV, V, VI, by a suitably constituted review body. Such waivers should not be made solely for the purpose of teaching or demonstration.

IX. At the end, or when appropriate during the experiment, animals that would otherwise suffer severe or chronic pain, distress, discomfort, or disablement that cannot be relieved should be painlessly killed.

X. The best possible living conditions should be maintained for animals kept for biomedical purpose. Normally, the care of animals should be under the supervision of veterinarians having experience in laboratory animal science.

XI. It is the responsibility of the director of an institute or department using animals to ensure that investigators and personnel have appropriate qualifications or experience for conducting procedures on animals. Adequate opportunities shall be provided for in-service training, including the proper and humane concern for animals under their care.

Special Provisions

I. It shall be the duty of the investigator/s using animals to emphasize to the supplier and the carrier that the animals shall be transported under humane and hygienic conditions.

II. Animal housing shall be such that the general health of animals is safeguarded and that undue stress is avoided. Attention shall be given to the space allocation for each animal according to the species, and adequate standards of hygiene shall be maintained as well as protection against predators, vermin and other pests. Facilities for quarantine and isolation shall be provided. Entry to animal rooms shall be restricted to authorized persons.

III. Environmental needs such as temperature, humidity, ventilation and lighting shall be consistent with the needs of the species concerned. Noise and odor levels shall be minimal. Proper facilities shall be provided for the disposal of animals and animal waste.

IV. Animals shall receive a supply of foodstuff appropriate to their requirements and of a quality adequate to preserve their health, and they shall have free access to potable water, unless the object of the experiment is to study the effects of variations of these nutritional requirements.

V. Sick and injured animals shall, according to circumstances, either receive appropriate veterinary care or be painlessly killed.

VI. Records of all experiments with animals shall be kept and shall be available for inspection. Information shall be included regarding the various procedures that were carried out and results of post-mortem examinations if conducted.
REFERENCES

ADDU Visioning Committee. 2006. Minutes of the Meeting.


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