# UNIVERSITY OF SURREY

# Ethics Policy

| Originator name: | Christine Hine |
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| Section / Dept: | University Ethics Committee |
| Implementation date: | March 2017 |
| Date of next review: | March 2019 |
| Related policies: | Code on Good Research Practice; Code of Practice on Handling Allegations of Research Misconduct; Ethics Handbook for Teaching and Research; Intellectual Property Code (including patents); Health and Safety Policy; Dignity at Work and Study Policy; Public Interest Disclosure (Whistleblowing Policy); Donations Policy and Accounting Procedures: Ethical Conduct Policy: Bribery, Fraud, Gifts, Hospitality and Conflicts of Interests; Regulations for Academic Integrity; Data Protection Policy; Grievance Policy and Procedure; Equality and Diversity; University Biosafety Manual; Research Data Management Policy; Records Management Strategy; Copyright Policy; Animal Welfare Policies; Sustainable Procurement Policy: Social Media Policy; Risk Management Policy; Prevent Policy; Statement on Modern Slavery; Information Security Policy; Export Controls Policy; Ethical Investment Policy; Environmental Policy and the Equality, Diversity and Inclusion Strategy; <br> http://www.surrey.ac.uk/equality-diversity/equality-strategy |
| Policy history: | This policy was developed within the Research Integrity Committee in collaboration with the University Ethics Committee |

## Version History

| Version | Author | Revisions Made | Date |
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| 1 | Ann Gallagher | Original Draft | 9th February 2013 |
| 2 | Ann Gallagher | Circulated to Research Integrity Committee members for comment | Feb to July 2014 |
| 3 | Ann Gallagher | Update to section 2.2 | January 2015 |
| 4 | Christine Hine | Checks on webpage links and adding new relevant policies. Minor changes made. | 25th Jan 2017 |

## Approval History

| Version | Reviewed by | Comments | Date |
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| 2 | Equality & Diversity Jo McCarthy Holland | Policy links well with equality agenda | 17 Jan 2014 |

## Committee Sign Off

| Version | Committee Name | Date of Sign Off |
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| 2 | University Research and Enterprise Committee (UREC) | 13 Jan 2015 |
| 3 | UREC Chair's Approval | 17 Feb 2015 |
| 4 | UREC Chair's Approval and Executive Board Approval | 30 Mar 2017 |

| 1 | Introduction |
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| | The University of Surrey is committed to conducting education, research and enterprise activities to the highest ethical standards. This policy details the principles and procedures that underpin the promotion and maintenance of an ethical culture throughout the university. The policy emphasises the values of innovation, passion, collaboration, openness and curiosity. It also integrates the core elements of the concordat to support research integrity honesty; rigour; transparency and open communication; and care and respect. |
| **1.1** | **Purpose** |
| 1.1.1 | The University of Surrey ethics policy aims to safeguard and promote respect for the rights, interests and well-being of students, staff, research participants/subjects (human and animal) and fellow citizens and communities in local and global contexts. The ethics policy also aims to be mindful of the physical environment and social and historical artefacts engaged with by university staff and students. |
| **1.2** | **Scope** |
| 1.2.1 | The policy relates to all university staff, students and collaborators and extends to teaching, research and enterprise activity both in the UK and overseas. |
| **1.3** | **Equality Analysis** |
| 1.3.1 | The ethics policy is in keeping with the requirements for non-discriminatory and inclusive practices as outlined in the University Equality, Diversity and Inclusion Strategy. |
| **1.4** | **Definitions** |
| 1.4.1 | **Ethics** – The analysis and application of ethical concepts and theories that describe and prescribe 'right' conduct and 'good' character of individuals within specific contexts. It encompasses also the ethical culture of organisations and consideration of the factors that enable or diminish human, animal and environmental flourishing.<br><br>**Research integrity** – This specifies the range of values and practices that contribute to the conduct of ethical research practice from the design to dissemination of research. The values as specified in the concordat to support research integrity include: honesty (emphasising truthfulness in data collection and reporting of results); rigour (requiring appropriate and competent research methods in keeping with disciplinary norms and standards}; transparency and open communication (regarding conflicts of interest and the trustworthiness of data reporting); and care and respect (relating to research participants and subjects – human and animals – and the stewardship of the environment, artefacts and data for future generations).<br><br>**Academic integrity** – This relates to ethical practice in all areas of academic activity and professional conduct. Such conduct is guided by adherence to agreed codes of practice and procedures that ensure fairness and create an atmosphere of trust and mutual respect. Academic integrity assumes a level of honesty and rigour that enables many university activities<br>– for example, teaching, learning, assessment and publication - to function for the benefit of all stakeholders. |
| **1.5** | **Legislative context** |
| 1.5.1 | Human Rights Act 1998<br>Equality Act 2010<br>Mental Capacity Act 2005<br>Health and Safety at Work Act 1974<br>Human Tissue Act 2004<br>Animals (Scientific Procedures) Act 1986 (amended 2012)<br>Data Protection Act 1998 (from 25th May 2018 the European Data Protection Regulation will apply). |

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| | Members of the university community need also to act in accord with laws, policies and declarations governing university activities in an international context, for example:<br><br>The Universal Declaration of Human Rights 1948 (see http://www.un.org/en/documents/udhr/<br>The Declaration of Helsinki; Ethical Principles for Medical Research Involving Human Subjects (see http://www.wma.net/en/30publications/10policies/b3/) |
| **1.6** | **Health & Safety Implications** |
| 1.6.1 | Adherence to the principles and procedures of the ethics policy supports compliance with the requirements of Health and Safety legislation and policies. Good ethical practice includes attention to the health and safety of research participants/subjects, researchers and the immediate environment. |
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| **2** | **Policy** |
| **2.1** | **Principles** |
| 2.1.1 | **Respect for persons** – All members of the university community must demonstrate a commitment to safeguarding and promoting the rights, interests and well-being of students, colleagues and research participants both within and outside the university. This may also involve raising and escalating concerns about unethical practices, research misconduct or academic misconduct in accord with university procedures. |
| 2.1.2 | **Respect for non-human subjects in research and education** – All members of the university community must demonstrate a commitment to safeguarding and preserving the rights, interests and well-being of non-human species in research and education. They must also adhere to the three R's of animal research: replacement, reduction and refinement. Should members have concerns about unethical practice, research misconduct or academic misconduct they have a duty to report and escalate these concerns in accord with university procedures. All members of the University should consider the risk of damage to the environment and impact on culture and cultural heritage, |
| 2.1.3 | **Promotion and maintenance of the ethical culture of the university** – All members of the university community have an obligation to undertake educational, research and enterprise activity ethically. This involves acting, at all times, in a manner that demonstrates honesty, integrity, trustworthiness, social justice and respectfulness for individuals, the environment and artefacts used in education, enterprise and research. |
| 2.1.4 | **Ethical engagement with external organisations and the international community** – All members of the university community have an obligation to reflect on and enact ethical practice in their engagement and collaboration with external organisations, national and international. This includes consideration of funding sources, research, educational or entrepreneurial activities.<br><br>Members of the university community embarking on research, enterprise and/or educational activities with external organisations and the international community must ensure they act in accord with the University Equality, Diversity and Inclusion Strategy. The Strategy is in accord with the Equality Act 2010 and covers the following protected characteristics: race, disability, gender, gender reassignment, age, religion or belief, sexual orientation, marriage and civil partnership; and pregnancy and maternity.<br><br>Where university activities are conducted in other jurisdictions, there needs to be adherence to the local policies and laws that apply, so long as they do not conflict with the University's Ethics Policy and University Equality, Diversity and Inclusion Strategy. |

| 2.2 | Procedures |
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**2.2.1 Respect for persons**

University research on humans must be considered for review either by the University Ethics Committee or the Faculty Ethics Committees. Where appropriate research must also be reviewed by external committees for example, where participants are military personnel or prisoners. In the case of NHS patients' involvement, research studies will only be reviewed by NHS Research Ethics Committee.

Should there be concerns regarding the conduct of university activities that impact negatively on individuals or groups, these should be raised and escalated in accord with the appropriate policy. These could include: Code on Good Research Practice; Code of Practice on Misconduct and Fraud in Research; Ethics Handbook for Teaching and Research; Donations Policy and Accounting Procedures; Intellectual Property Code (including patents); Health and Safety Policy; Dignity at Work and Study Policy; Public Interest Disclosure (Whistleblowing Policy); Ethical Conduct Policy: Bribery, Fraud, Gifts, Hospitality and Conflicts of Interests; Regulations for Academic Integrity; Data Protection Policy; Grievance Policy and Procedure; University Equality, Diversity and Inclusion Strategy; University Biosafety Manual; Research Data Management Policy; Records Management Strategy; and Copyright Policy.

**2.2.2 Respect for non-human subjects in research**

The University promotes a culture of welfare and respect for all non-human subjects. All University research on protected animals is legally covered by the Animal (Scientific Procedures) Act 1986 Amendment Regulations 2012 (ASPA). Under the ASPA, all research on protected and non-protected animals must be reviewed by the Animal Welfare Ethical Review Board (AWERB) which acts to advise the Establishment Licence Holder whether to support a project proposal. In addition, the AWERB helps promote a culture of care, awareness and application of the 3Rs (replacement, reduction, refinement) and reviews the development and outcome of projects carried out at the University as well as other tasks as specified in the ASPA. Ultimately project licences, personal licences and the Establishment Licence are issued by the Home Office. Researchers must ensure that ethical standards of animal research are adhered to both in the UK and when such research is conducted in other countries.

The University operates a transparent and open policy with respect to all research involving animals. Queries about university research involving animals can be discussed with the Named Animal Welfare Care Officer (NACWO), the Chair of the AWERB, the named Veterinary Surgeon (NVS) and the Establishment Licence Holder or directly with the Home Office Inspector.

Ethical review of activities involving animals, which fall outside the Animals (Scientific Procedures) Act 1986 as amended in 2012 A(SP)A are assessed by the Non-ASPA Sub-Committee (NASPA) which advises on such activities. NASPA is a sub-committee of the Animal Welfare and Ethical Review Body (AWERB).

**2.2.3 Promotion and maintenance of the ethical culture of the university**

The University of Surrey has mechanisms in place to maintain high standards of ethical conduct in education, research and enterprise that underpin an ethical culture. Should there be concerns regarding the conduct of university activities that impact negatively on individuals or groups, these should be raised and escalated in accord with the appropriate policy. These could include: Code on Good Research Practice; Code of Practice on Handling Allegations of Research Misconduct; Ethics Handbook for Teaching and Research; Intellectual Property Code (including patents); Health and Safety Policy; Dignity at Work Policy; Public Interest Disclosure (Whistleblowing Policy); Ethical Conduct Policy: Bribery, Fraud, Gifts, Hospitality and Conflicts of Interests; Regulations for Academic Integrity; Data Protection Policy and Procedure; Grievance Policy and Procedure; University Equality, Diversity and Inclusion Strategy; University Biosafety Manual; Data Management Plans/Record Management Strategy; Sustainable Procurement Policy: Social Media Policy; Risk Management Policy;

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| | | Prevent Policy; Statement on Modern Slavery; Information Security Policy; Export Controls Policy; Ethical Investment Policy; Environmental Policy and Copyright Policy. |
| 2.2.4 | | **Ethical engagement with external organisations and the international community**<br><br>Members of the university community embarking on research, enterprise, educational activities with external organisations and the international community are required to act in accord with the University Ethics Policy and Equality Strategy. They are individually responsible for ensuring that they act in accord with local laws and regulations so long as these do not violate the Ethics Policy, Equality Strategy or international directives regarding human rights and non- discriminatory practice.<br><br>Where there is uncertainty regarding the ethics of external engagement with particular individuals, organisations or countries - individuals should take advice from the International Relations Office, the University Ethics Committee and departmental management. Advice about ethical dimensions of sources of research funding or donations, can be sought from the Finance Department. |
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# 3 Governance Requirements

## 3.1 Responsibility

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| 3.1.1 | It is the responsibility of individual members of staff, students and others working on behalf of the University to ensure they adopt the principles of the Ethics Policy. |

## 3.2 Implementation / Communication Plan

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| 3.2.1 | The draft was circulated University Research and Enterprise Committee (UREC) for comment before final approval at Executive Board.<br><ul><li>A link to the policy is provided on the Research Ethics landing page: http://www.surrey.ac.uk/research/our-approach/ethics</li><li>The University's Research Integrity and Governance Office provides advice to staff and students through web-based materials, leaflets, drop-in surgeries and formal training events.</li><li>Detailed guidance on Ethics processes at the University is available on the Research Ethics webpages and via the Research Integrity and Governance Office in Research and Innovation Services. (See http://www.surrey.ac.uk/research/our-approach/ethics )</li></ul> |

## 3.3 Exceptions to this Policy

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| 3.3.1 | None applicable. |

## 3.4 Supporting documentation

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| 3.4.1 | Available at: http://www.surrey.ac.uk/research/our-approach/ethics |
| | For further information please contact the Research Integrity and Governance Office using the email ethics@surrey.ac.uk |