Ethical Conduct Policy

The Ethical Conduct Policy outlines the University's practices around bribery and fraud, accepting gifts or hospitality which may influence staff when making a business decision.

This policy is binding on all staff, including but not limited to Members of Council and its Committees and students. Refusal to observe this policy will be grounds for disciplinary action in accordance with the University's Disciplinary Procedures.

http://www.surrey.ac.uk/policies/ethical_conduct_policy.htm

Ethical Conduct Declaration forms:
Online declaration forms are available for disclosure of any personal, financial or beneficial interest which may lead to a conflict of interest and also to record any offers of hospitality.

https://www.surrey.ac.uk/surreynet/departments/secretariat/ethical-conduct/

The Research Integrity and Governance Office (RIGO) do NOT deal with queries relating to the Ethical Conduct policy.

For further information please contact secretariat@surrey.ac.uk

Tips for completing an application for an ethics review

- **THINK** about how you will save and store your data and prepare a Data Management Plan. Consider future use of data (data sharing and dissemination).

- **CONSENT FORMS:**
  - You should inform participants about how research data will be stored, preserved and used in the long-term, and how confidentiality will be maintained.
  - Should be written in plain language at a level understandable to the participants.
  - The information on the consent forms should match the participant information sheets.
  - Obtain consent for audio and visual recordings.
  - Provide clear information on what happens with data if a participant wishes to withdraw.

- **CHECK** that consent forms and participant information sheets have the correct version numbers and use version control: version x, dd-mm-yy.

- **COMPLETE** appropriate insurance proforma.

- **INCLUDE** a risk assessment for the study.

- **PROOF READ** all forms, particularly those for participants and also recruitment posters.

- **SUBMIT** a complete application with all documentation together as one pdf file.

- **USE YOUR** University of Surrey contact details rather than personal details.

**DURING THE REVIEW**

- Answer all reviewers’ queries!
- Have you given yourself time to make any changes required by the reviewers?
- Do not start your study before a favourable ethical opinion (FEO) has been given.

**AMENDMENTS**

- Any amendments to the study documents must be submitted with updated version numbers.
When is a review by an ethics committee required?

- Studies that involve research with animals will need a review by either AWERB or the NASPA sub-committee. [http://www.surrey.ac.uk/fhms/research/animal_research.htm](http://www.surrey.ac.uk/fhms/research/animal_research.htm)
- Studies with human participants or their data and all high risk studies, submitted by: Research staff, PhD Students and PhD equivalent Practitioner Doctorate.
- Studies with human participants or their data submitted by: Undergraduates, Postgraduate taught and Practitioner Doctorate students.
- ALL Studies that fall under the Human Tissue Act 2004 (HTA), will need to submit a risk assessment to the HTA Governance Committee and will require sign-off to support the ethics application.

Committees that may review research studies

- **NHS Ethics Committee**
  For the review of all projects involving NHS, through the Health Research Authority (HRA) approval process. Check the HRA decision tool: [http://www.hra-decisiontools.org.uk/ethics/](http://www.hra-decisiontools.org.uk/ethics/)

- **University Ethics Committee (UEC)**
  The Online Self-Assessment Form (SAFE) will confirm whether the study needs an UEC review: [https://surrey.onlinesurveys.ac.uk/onlinesafe](https://surrey.onlinesurveys.ac.uk/onlinesafe)

- **Faculty Ethics Committee(s)**
  Students should refer to:
  - FHMS Ethics Committee: [http://www.surrey.ac.uk/faculty-health-medical-sciences/research/ethics-committee](http://www.surrey.ac.uk/faculty-health-medical-sciences/research/ethics-committee)
  - FEPS Ethics Committee: [http://www.surrey.ac.uk/feps/staff_students/ethics/](http://www.surrey.ac.uk/feps/staff_students/ethics/)
  - FASS Ethics Committee: [http://www.surrey.ac.uk/fass/research/ethics/index.htm](http://www.surrey.ac.uk/fass/research/ethics/index.htm)

- **HTA Governance Committee**
  For the risk assessment of activities involving human tissue. [https://www.surrey.ac.uk/surreynet/HTApolicies/index.htm](https://www.surrey.ac.uk/surreynet/HTApolicies/index.htm)

- **Animal Welfare and Ethical Review Body (AWERB)**
  For the approval of activities falling under the Animals (Scientific Procedures) Act 1986 Amendment Regulations 2012 (ASPA) (Home Office licence).

- **Non-ASPA sub-committee (NASPA)**
  For the review of animal studies that don’t require a Home Office licence.

You need to know:

- **Code on Good Research Practice**: All staff and students involved in academic research, as defined by HEFCE, must familiarise themselves with this and ensure that its provisions are observed. [http://www.surrey.ac.uk/policies/code_on_good_research_practice.htm](http://www.surrey.ac.uk/policies/code_on_good_research_practice.htm)

- **Ethics Handbook** (formerly known as Ethical Principles and Procedures in Teaching and Research). This purpose of this document is to support all researchers in their consideration of ethical issues arising from their research. [http://www.surrey.ac.uk/research/our-approach/ethics](http://www.surrey.ac.uk/research/our-approach/ethics)

- **Research Data Management**: is an essential building block of good research practice and increases the exposure and impact of your research. It includes: a Data Plan of how your data will be looked after before any project starts; day-to-day management over the project lifetime; and what to do with the research data after the project concludes. [https://www.surrey.ac.uk/surreynet/departments/data-management/index.htm](https://www.surrey.ac.uk/surreynet/departments/data-management/index.htm)

- **Insurance guidance**: You must not assume that the University insurance will apply to your project until it has been confirmed to you in writing, or email, by Research Enterprise Support (RES) and/or the Research Integrity and Governance Office (RIGO) who will also establish who is acting as sponsor for your study. [https://www.surrey.ac.uk/surreynet/departments/insurance/research/index.htm](https://www.surrey.ac.uk/surreynet/departments/insurance/research/index.htm)

Contacts:

- **RIGO and UEC**: rigo@surrey.ac.uk and ethics@surrey.ac.uk
- **Human Tissue Governance**: hta@surrey.ac.uk
- **Non-ASPA**: NASPA@surrey.ac.uk