Ethics Framework

Version Number 1.0

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Author: Corporate Governance Manager

Legal & Governance Directorate

Document Control Information

Revision History incl. Authorisation: (most recent first)

Author	Summary of changes	Version	Authorised & Date
JM	Amendments following Andrew Hartley comment	V1.0	08.8.17
AJ	*General Update Academic perspective*	V0.9	
CP	*Formatting and general updates*	V0.8	E.g. UMT: 01/09/15
Name or initials	*Previous input from GNEC 02/03/17 and VCET 7/02/17 and 21/02/17, Alison Blackburn, Andrew Hartley*	Up to V0.7	E.g. University Secretary & CIO: 01/02/14

Policy Management and Responsibilities:

Owner:	This Policy is issued by the University Secretary, who has the authority to issue and communicate this ethical framework.
Others with responsibilities (please specify):	All subjects of the Framework will be responsible for engaging with and adhering to this policy.

Author to complete formal assessment with the following advisory teams:

Equality Analysis (E&D, HR) *Equality Assessment form*	1. *This is mandatory. Specify date completed and brief outcome. Email the completed EA to Equality@salford.ac.uk*
Legal implications (LPG)	2. *Please specify date completed and brief outcome, or N/A*
Information Governance (LPG)	3. *Please specify date completed and brief outcome, or N/A*
Student facing procedures (QEO)	4. *Please specify date completed and brief outcome, or N/A*
UKVI Compliance (Student Admin)	5. *Please specify date completed and brief outcome, or N/A*

Consultation:

Staff Trades Unions via HR Students via USSU Relevant external bodies (specify)	1. Specify date/outcomes of any relevant consultations or N/A

Review:

Review due:	1 year after implementation (by mm/yyyy)
Document location:	University of Salford Policy pages http://www.salford.ac.uk/policies

The owner and author are responsible for publicising this policy document.

1.0 Purpose

The purpose of this document is to set out the ethics framework underpinning all University functions. It sets out our principles and responsibilities and acts as a signpost to enable you to locate the existing detailed, relevant policies and procedures.

As set out in our Charter, “the objects of the University shall be to advance education and knowledge by teaching and research, and in doing so to foster an academic environment which is enterprising and applied to business and the professions, for the benefit of society at large.”

The University is committed to fulfilling that purpose only in ways that comply with broad obligations to social responsibility, including the protection of human rights, civil liberties, the natural environment and health and wellbeing. At our heart we are an educational and research establishment and we must therefore balance our ethical considerations with social and educational advancement and understanding. We do not operate blanket ethical approaches but consider ethical parameters individually and diligently.

The University of Salford will look at the countries and industries that we engage with. We will examine if working with a specific country will raise ethical or reputational issues including areas such as human rights, diversity and/or security and will make decisions based on an empirical evidence base.

We will also look at sectors and industries that we have the potential to work in collaboration with. We will look at potential health and wellbeing, societal and economic impacts of collaborative working. We would carefully examine donations to the University from such organisations, or individuals connected with such organisations.

Before entering into collaborative work, accepting donations, or formalising any other university business, appropriate due diligence, investigations and sign off procedures are undertaken to safeguard the University’s ethics, reputation and finances.

This framework aims to:

Set out the principles applicable to all research, enterprise, consultancy projects and studies conducted at, by or in the name of the University

Provide members of the University community with a clear understanding of the ethics processes operated by the University

Support a culture of academic freedom and excellence by providing a framework which subjects research proposals and other studies to a level of scrutiny that is in proportion to the risk of harm or adverse effect on participants, researchers, the University and to society as a whole.

2.0 Scope

This Framework applies to all staff, students, visitors, individuals, collaborators and those carrying out consultancy and enterprise activities.

3.0 Policy Statements

3.1 Principles and Responsibilities

The University expects all its members, those that provide services to the University and the partners that it works with, to act ethically in line with the principles of this framework. In line with our mission and values, we embody the Standards in Public Life as defined by the Committee of Standards in Public Life 1994. These are cross referenced in the University's Financial Regulations as well as the Management of Conflicts of Interests Policy.

- Selflessness –Holders of public office should take decisions solely in terms of the public interest. They should not do so in order to gain financial or other material benefits for themselves, their families or their friends.
- Integrity – Holders of public office should not place themselves under any financial or other obligation to outside individuals or organisations that may influence them in the performance of their official duties.
- Objectivity- In carrying out the public business including making public appointments, awarding contracts or recommending individuals for rewards and benefits, holders of public office should make choices on merit.
- Accountability – Holders of public office are accountable for their decisions and actions to the public and must submit themselves to whatever scrutiny is appropriate to their office.
- Openness – Holders of public office should be as open as possible about all their decisions and the actions that they take. They should give reasons for their decisions and restrict information only when the wider public interest clearly demands.
- Honesty – Holders of public office have a duty to declare any private interest relating to their public duties and to take steps to resolve any conflicts arising in a way that protects the public interest.
- Leadership - Holders of public office should promote and support these principles by leadership and example.

The University Council has overall responsibility for the ethical operations of all activities undertaken by the University and has delegated responsibility in the following areas:

- Academic and Research Ethics
- Ethical Governance
- Financial Management
- Treatment of Staff
- Use of Information
- Treatment of Students
- Environmental Sustainability
- Equality and Diversity

This framework is politically neutral in keeping with the fundamental principles of academic freedom and freedom of speech. However it needs to be flexible enough to respond to political

issues that may affect the University. This could be changes in legislation or changes brought about by a populace vote such as the lead up to the referendum whereby the UK voted to leave the EU.

This framework references relevant policies and procedures. It identifies clear lines of responsibility within Directorates and Schools and is ratified by Council acting through its Governance, Nominations and Ethics Committee. Appendix 1 indicates a sample governance schematic of academic and University governance of ethics matters. It is not a full committee structure.

4.0 Policy Enforcement / What happens when the policy/procedure is not followed

Members of the University community are encouraged to question ethics matters in their work and academic endeavours and should always consider the impact of their actions on the University reputation and who else may be affected or whose interests are being served. If you are unsure about an ethics issue, the University expects you to ask for advice. Students should contact their Programme Leader or Research Supervisor for advice. All academic and professional staff should contact to the University Secretary a

Adhering to the framework, and to the policies and procedures referred to within it, is necessary to protect the University from financial, regulatory and reputational risk. Knowingly failing to comply could result in a number of sanctions as outlined in the following documents:

- Allegations of Misconduct in Research
- Staff Disciplinary policy
- Student Disciplinary policy
- Academic Misconduct Procedure

5.0 Related Documentation

The University has a range of policies that address ethical considerations:

The Academic Ethics policy underpins the conduct of the University's academic activities. It is approved by the Academic Ethics Committee and can be found at http://www.salford.ac.uk/data/assets/pdffile/0011/707186

The Code of Practice for Conduct of Postgraduate Research Degree Programmes supports this approach and can be found at http://www.salford.ac.uk/data/assets/pdf_file/0011/942446/CoPConductPostgraduateResearch.pdf

The Modern Day Slavery, Whistleblowing, Gift Acceptance and Donor Charter policies are approved by the Governance Nominations and Ethics Committee and can be found at http://www.salford.ac.uk/aboutus/corporateinformation/governance/policiesand-procedures/health-andwellbeing

http://www.salford.ac.uk/__data/assets/pdf_file/0009/487989/WhistleBlowingPolicy.pdf

Gift acceptance and Donor Charter (in development)

The Health and Safety policy is approved by the Audit and Risk Committee and can be found at

http://www.salford.ac.uk/data/assets/pdffile/0009/567333/Health -and-

Safety.Policy.HSW.v8.0.30.10.2015.

Equal Pay, staff expenses, staff disciplinary, anti-bribery, counter fraud, treasury management and procurement policies are approved by the Finance and Resources Committee. They can be found respectively at

http://www.salford.ac.uk/hr

http://www.salford.ac.uk/finance/support-files/files/pay-and pensions/travel/Staff-Travel-and-

Expenses-Policy.pdf

http://www.salford.ac.uk/data/assets/file/0020/527420/Disciplinary.Policy.ERA-.v5.2.-31.03.2015.docx

http://www.salford.ac.uk/data/assets/pdffile/0005/909266/AntiBriberyPolicy.pdf

http://www.salford.ac.uk/data/assets/worddoc/0010/658009/Cou nter-Fraud-Policy-And-ResponsePlan-v3.doc

http://www.salford.ac.uk/data/assets/pdffile/0010/949114/Treasu ryManagementPolicy.pdf

http://www.salford.ac.uk/finance/procurement

Green Impact, Fair Trade, Recycling and Sustainable Travel policies are approved by the Sustainability Programme Board and can be found respectively at http://www.salford.ac.uk/data/assets/pdf_file/0010/812926/EnvironmentalSustainabilityStatement.pdf http://www.estates.salford.ac.uk/p age/Fairtrade Policy.

The Student Support Policy and the Inclusion and Diversity policy are approved by the Student Experience, Learning and Teaching Committee and can be found at

https://www.salford.ac.uk/__data/assets/pdf_file/0007/727927/StudentSupportPolicyFramework.pdf

and http://www.salford.ac.uk/hr respectively.

The Student Disciplinary policy and Academic Partnerships and Collaboration is owned by Senate and can be found at

http://www.salford.ac.uk/data/assets/pdf_file/0005/756446/StudentDisciplinaryProcedure.pdf

http://www.salford.ac.uk/qeo/partnerships-and-collaboration

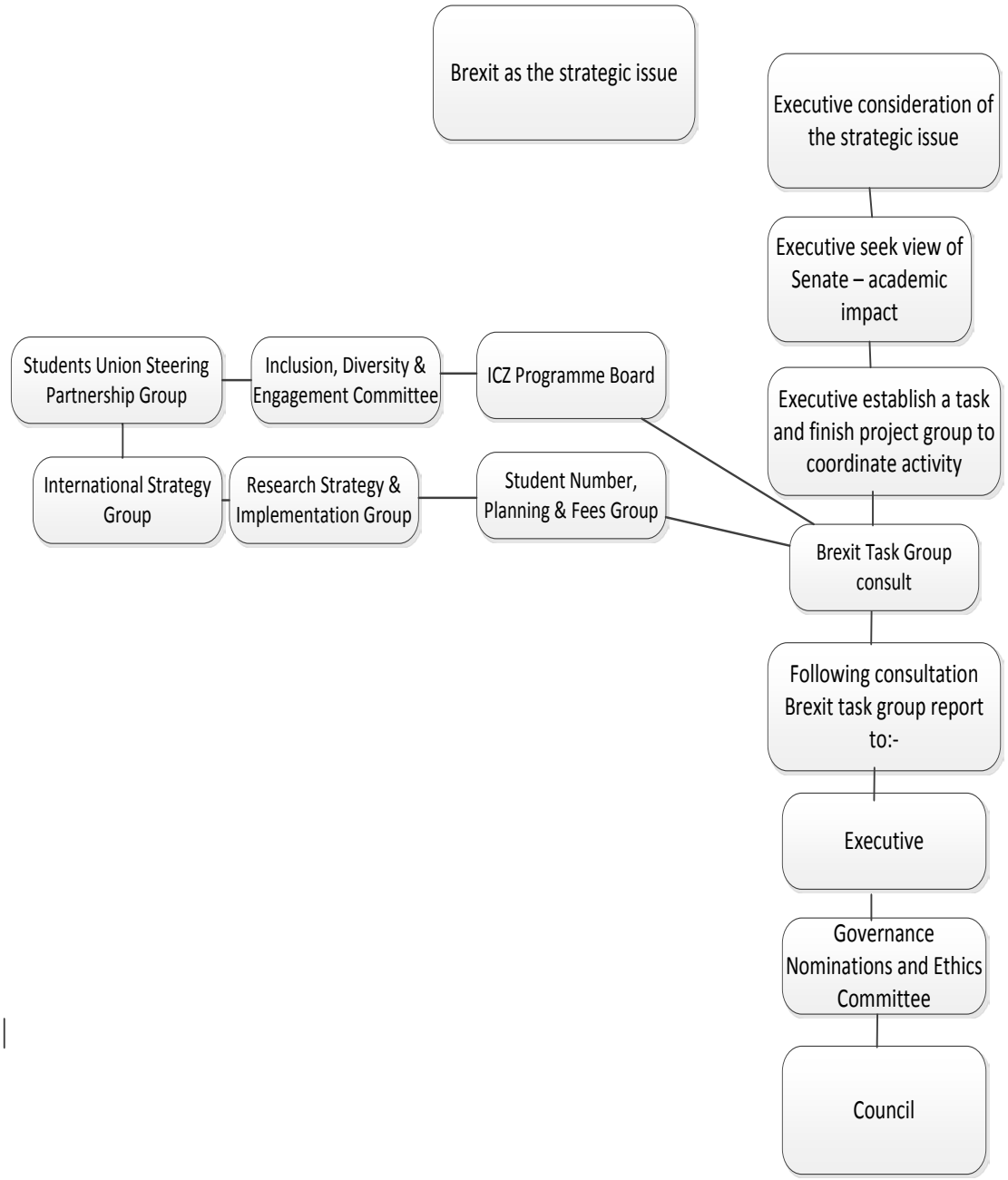
6.0 Appendices

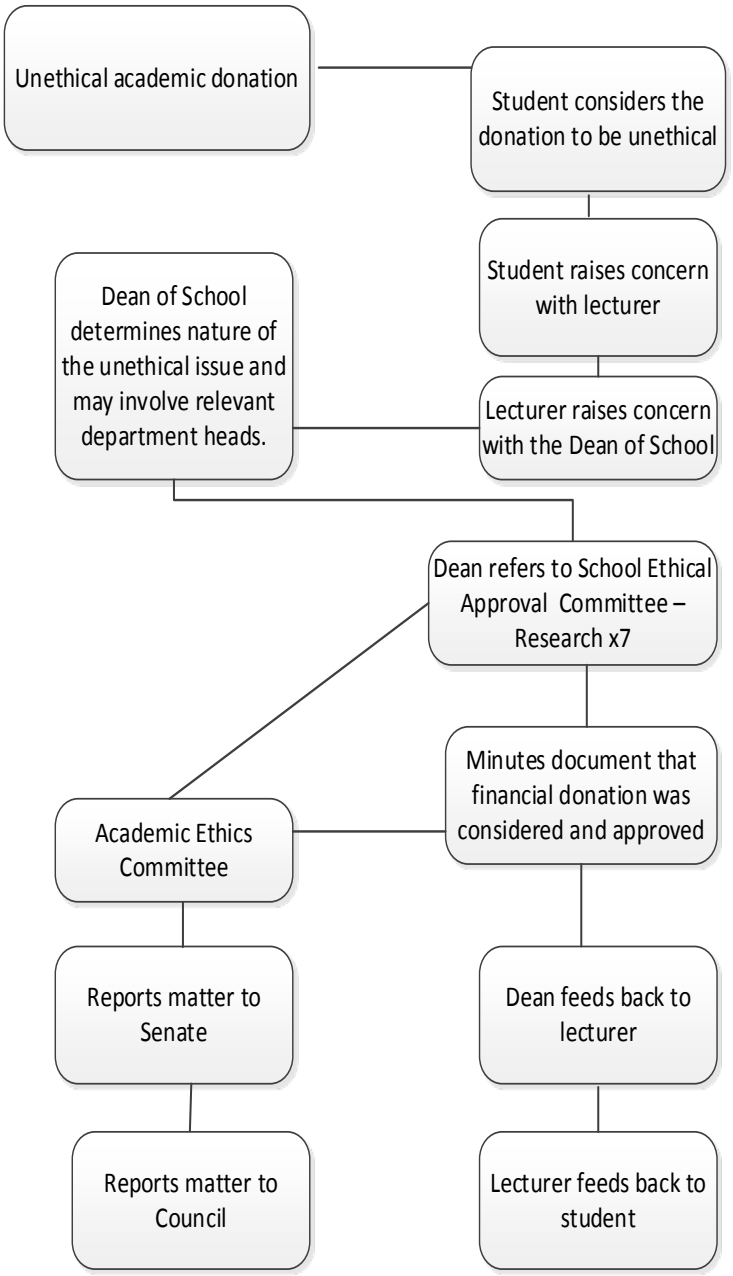
Appendix 1: University committees with a role in ethics governance
Appendix 2: Ethics in practice – example process map

Appendix 1: University committees with a role in ethics governance

Appendix 2: Ethics in practice – Brexit as the strategic issue.

The University discussion concerning this strategic issue regarding ethics would be in advance of the referendum. Questions to consider would be how the University engages in the debate, protects individuals and decisions as to how to engage with the process.




Unethical academic donation
Student considers the donation to be unethical
Student raises concern with lecturer
Lecturer raises concern with the Dean of School
Dean of School determines nature of the unethical issue and may involve relevant department heads.
Dean refers to School Ethical Approval Committee – Research x7
Minutes document that financial donation was considered and approved
Academic Ethics Committee
Reports matter to Senate
Reports matter to Council
Dean feeds back to lecturer
Lecturer feeds back to student