**Loughborough University Ethical Policy Framework**

**Preamble**

**The Loughborough University strategy, ‘Toward 2016’, sets out our vision for the period 2006-2016. It recognises that the fundamental purpose of a university is to contribute to original knowledge and understanding and to develop students intellectually as critical thinkers and as responsible members of society and citizens of the world. It also accepts that we are part of a global community and that we have a responsibility to contribute to social and economic development at regional, national and international levels.**

**Our mission**

* To increase knowledge and understanding through research which is internationally recognised.
* To provide a high quality international educational experience with wide opportunities for students from diverse backgrounds which prepares our graduates for the global workplace.
* To influence the economic and social development of individuals, business, professions and communities.

**In delivering our strategy, we will adhere to a number of values which will influence the way we deliver our goals. We will:**

* Value all our staff and students.
* Embed a commitment to equality and diversity and value the positive aspects of our differences.
* Value and reward our staff for their contribution and commitment to the University’s successes.
* Contribute to society.
* Listen to our staff, students, alumni and partners.

Upholding the mission and values of the institution is of the utmost importance to our long-term success and sustainability. In doing so, it is vital that, as individuals and as a community, we adhere to and promote the ethical principles set out in this framework.

Signature

Professor Shirley Pearce, Vice-Chancellor

**1: Introduction**

**What is the purpose of this framework?**

The University is an independent academic institution that exists for the creation, transmission and dissemination of knowledge for the social and economic enrichment of society. We must be committed to fulfilling that purpose only in ways that comply with broad obligations to social responsibility, including the protection of human rights, civil liberties and the natural environment, with a special institutional commitment to the promotion of health and well-being.

Integral to this commitment to social responsibility are the adoption of high ethical standards across every part of our activities. This framework provides a comprehensive statement of our expectations in relation to organisational and individual ethical behaviour, and a structure that supports informed decision-making when specific ethical issues arise in the course of the University’s business.

**How is the framework used and to whom does it apply?**

We recognise the distinction between legal requirements (see Appendix 1) and ethical considerations, and aim to fulfil our obligations to both. No attempt is made in this framework to address or anticipate all possible ethical dilemmas. Nor will collaboration with any particular, legally constituted organisation or sector be ruled out simply to avoid confronting challenging ethical issues. Instead, the framework offers guidance to all members of our university community on how to act with integrity, good conscience and good judgement at all times. Such members include our staff, including staff of our subsidiary companies, students and lay members of Council as well as visiting staff and students. Our ethical principles are summarised in section 2. Ethical checklists are available to help identify issues where further scrutiny is required (see Appendix 2).

**How is the framework structured?**

The framework is structured to reflect its essential connection to the university strategy and considers each area of University activity in turn. When ethical issues arise in any one area of our activity, we also aim to consider any implications across all other areas of our activity. Each area is the responsibility of a named senior member of staff of the University (see Appendix 3).

Detailed Codes of Practice and further guidance in specific areas are set in context and the remit of the Ethics Committee is defined.

**How can unethical behaviour be challenged?**

Any member of the University community may challenge the institution if in good faith they feel that we have fallen short of the standards set out in this framework in relation to organisational or individual ethical behaviour. Initially, this should be discussed locally, for example with a tutor, supervisor, line manager, department / section head or Dean, but if a resolution cannot be found then contact should be made with the responsible person for the area of activity (see Appendix 3) in which the challenge is made. If a resolution still cannot be found then this responsible person will ensure that the matter is passed to the Ethics Committee for resolution. Retaliation or retribution against any person making such a challenge will not be tolerated and shall attract disciplinary action.

**Who is responsible for the framework and how often is it reviewed?**

This framework was produced after consultation across the University and was approved by the University Council on 14 July 2011. The Ethics Committee is responsible for updates to this framework; the first update is due after one year at which point a long term update schedule will be considered.

**2: Loughborough University Ethical Principles**

**As active members of an international academic community, we are fundamentally committed to:**

* the creation, transmission and dissemination of knowledge for the social and economic enrichment of society,
* the seven overarching ethical principles of selflessness, integrity, objectivity, accountability, openness, honesty and leadership,
* accepting our social, economic and environmental responsibilities and contributing to the wider goal of sustainable development.
* the protection of equity, human rights and civil liberties around the world, and
* supporting the academic freedom to further knowledge and debate, within UK law.

**As the representatives of a modern, progressive institution, we are also committed to:**

* excellence in all our activities,
* good governance and collegiate, transparent leadership,
* safe working practices
* fair, rigorous and transparent processes and practice,
* encouraging social mobility and widening participation, and
* regarding legal compliance as a minimum expectation but not as a sufficient response to an ethical challenge,

**but we will not tolerate**

* initiation of or collusion in harmful acts,
* giving, offering, receiving or requesting improper inducements to influence decisions affecting the interests of the University, or
* retaliation or retribution against any person who in good faith challenges our ethical position.

**Furthermore, as members of the Loughborough University community, we are committed to:**

* Fostering a collegial community characterised by inclusivity, equality of opportunity, the valuing of diversity, mutual trust, respect for personal dignity and the promotion of unity across nations,
* respect for our diverse local community,
* listening to all members of the university community, past and present,
* the promotion of health and well-being,
* valuing participation, dedication and honest endeavour, and
* celebrating ever greater achievement and success fairly gained.

**Our ethical principles are manifest in our achievements including:**

* a world-class research reputation,
* the ‘best’ student experience,
* enduring support to the professions, business, industry and public policy makers,
* unrivalled sporting achievement,
* outstanding staff satisfaction,
* financial stability and
* an award-winning, sustainable campus

**To enhance our position for the future, we must:**

* demonstrate courage and consistency when facing challenging ethical dilemmas,
* choose partners who share our ethical commitments, and
* ensure that all members of the university community embrace and promote these ethical principles.

**3: Research**

Loughborough is a research intensive institution. We undertake, promote and disseminate research of the very highest international quality. In particular, we deliver ‘research that matters’, in its impact on public policy, the professions, business and industry, as well as on the development of knowledge and understanding.

The leaders of our research projects and programmes, on all scales, are accountable for ensuring adherence to this framework in respect of the nature, conduct, dissemination and foreseeable end-use of research, and the behaviour of researchers. Acting with integrity, openness and honesty, these leaders are expected to make objective research decisions and, where difficult ethical issues are encountered, demonstrate courage and consistency in those decisions with the backing of the institution as a whole. We will seek research partners who share our ethical principles, as demonstrated through their own ethical behaviour. Research funding proposals will be subject to ethical scrutiny as part of the submission process.

Researchers must work with honesty, accuracy and rigour, and accept their professional duty to understand the ethical implications of their studies, especially those involving human participants, animals, risk to the environment and the use of sensitive data. All researchers should declare any real or potential conflicts of interest at the earliest opportunity, including those associated with publication. In all publications, authorship must be fairly attributed. Research misconduct, for example plagiarism or the falsification of results, will be regarded as a serious disciplinary offence.

The following Codes of Practice are available

Ethical Approval Checklist for Research Funding Proposals (to do)

[Investigations Involving Human Participants](http://www.lboro.ac.uk/admin/committees/ethical/ind-cophp.htm)

[Health and Safety Policy on Blood Borne Viruses](http://www.lboro.ac.uk/admin/hse/policies/download/Blood%20Borne%20Viruses.pdf)

[Health and Safety Policy on Pathogens (excluding Blood Borne Viruses)](http://www.lboro.ac.uk/admin/hse/occupational/downloads/Pathogens%20exc%20Blood%20Borne%20VirusesHSE-%20PDF%20Copy.pdf)

[Research Misconduct and Whistle-Blowing Policy and Procedure](http://www.lboro.ac.uk/admin/committees/ethical/Whistleblowing(2).htm)

[Human Tissue Authority](http://www.hta.gov.uk/legislationpoliciesandcodesofpractice/codesofpractice.cfm)

The following general guidance is available:

[Rigour, respect and responsibility: Good practice guidelines for scientists](http://www.lboro.ac.uk/admin/committees/ethical/RigourRespectResponsibility%20(2).htm)

The following detailed guidance for investigators is available

[Making Payments to Participants](http://www.lboro.ac.uk/admin/committees/ethical/gn/payments.html)

[Compliance with Data Protection Requirements](http://www.lboro.ac.uk/admin/committees/ethical/gn/dp-comp.htm)

[Conducting Interviews Off-Campus and Working Alone](http://www.lboro.ac.uk/admin/committees/ethical/gn/ciwa.htm)

[Data Collection and Storage](http://www.lboro.ac.uk/admin/committees/ethical/gn/dcas.htm)

[Exposure to Hazardous Substances](http://www.lboro.ac.uk/admin/committees/ethical/gn/exhs.htm)

[Exposure to Ionising Radiation](http://www.lboro.ac.uk/admin/committees/ethical/gn/exir.htm)

[Pharmaceutical Drugs](http://www.lboro.ac.uk/admin/committees/ethical/gn/iiupd.htm)

[Working with Children and Young People](http://www.lboro.ac.uk/admin/committees/ethical/gn/wwccop.htm)

An archive of approved research ethics proposals together with application forms and templates are available from the [Ethical Approvals (Human Participants) sub-committee](http://www.lboro.ac.uk/admin/committees/ethical/index.html).

**4: Learning and Teaching**

At Loughborough, we are committed to research-informed teaching and to developing programmes of study that build on our exceptional reputation for effective collaboration with external partners in business, industry, the public sector and the professions. Our defining characteristics are a student-centred ethos and an outstanding national reputation for high quality teaching and student learning. Academic staff have the primary responsibility for providing diverse opportunities for all students to develop qualities of critical enquiry and independent learning within a supportive and intellectually stimulating learning environment. Crucially, we will listen to their needs and encourage their participation in enhancing the quality of learning and teaching.

Our recruitment and admissions process will be transparent, fair and explicit. Selection procedures will be followed courteously and expeditiously. Information concerning applicants will remain confidential. The University places a growing emphasis on the national policy objective of widening participation and we have remained close to institutional benchmark levels.We are committed to engaging in a range of activities in support of outreach and fair access.

Across the many facets of the relationships between learners and teachers, all parties shall act with integrity and honesty and be willing to act selflessly. All students should have access to personal tutors to ensure that appropriate advice and support is provided. Module design will consider the needs of all students and assessment procedures will be fair, rigorous and transparent. Academic misconduct, such as taking prohibited materials into examination halls and plagiarism, will not be tolerated.

The ethical principles associated with research apply equally to project work associated with taught programmes. In this case, project supervisors are accountable for the nature and conduct of the project, the end-use of its findings, the behaviour of project students and the choice of project partners. Project definitions should involve students in a formal ethical scrutiny stage with supervisors ensuring escalation as appropriate where specific approvals are deemed necessary. Similar considerations apply to placements forming an integral part of Loughborough degree programmes. The health and safety of students on placement is of paramount concern.

The institution has procedures to listen and respond to student complaints and appeals about academic matters. These are designed to ensure that students can raise matters of genuine concern without fear of disadvantage and in the knowledge that confidentiality will be respected.

The following Codes of Practice are available:

[Undergraduate Modular Assessment](http://www.lboro.ac.uk/admin/ar/student/exams/cop/ugmodass.htm)

[Undergraduate Reassessment](http://www.lboro.ac.uk/admin/ar/student/exams/cop/ugreass.htm)

[Viva-Voce Examinations](http://www.lboro.ac.uk/admin/ar/student/exams/cop/viva.htm)

[Placement Learning (including Health and Safety)](http://www.lboro.ac.uk/admin/ar/policy/aqp/appendix/11/index.htm)

[Staff/Student Liaison Committees](http://www.lboro.ac.uk/admin/ar/policy/copsslc/index.htm)

[Student Feedback Questionnaires](http://www.lboro.ac.uk/admin/ar/policy/aqp/appendix/13/index.htm)

Ethical scrutiny of elements within taught programmes (to do)

The following detailed guidance is available:

[Admissions Policy](http://www.lboro.ac.uk/admin/ar/admissions/sacop/index.htm)

[Guidelines on dealing with International Student Enquiries and Applications](http://www.lboro.ac.uk/admin/ar/policy/aqp/appendix/19h/index.htm)

[REGULATION XIV - Student Appeals Against Programme Board or Review Board Decisions](http://www.lboro.ac.uk/admin/ar/calendar/regulations/current/14/index.htm)

[Widening Participation Strategy](http://www.lboro.ac.uk/admin/ar/wp/)

[University Policy Regarding External Speakers](http://www.lboro.ac.uk/admin/ar/policy/externalspeakers/)

[Student Guidebook: Academic Misconduct](http://www.lboro.ac.uk/admin/ar/student/handbook/section11/index.htm)

[Student Guidebook: Complaints](http://www.lboro.ac.uk/admin/ar/student/handbook/section24/index.htm)

[Academic Quality Procedures: Assessment Policy for Students who have a Disability](http://www.lboro.ac.uk/admin/ar/policy/assess_pol_dis.html)

[Academic Quality Procedures: Assessment Flexibility Approval (Religious Observance)](http://www.lboro.ac.uk/admin/ar/student/forms/RG1098%20Assess%20Flex%20(Relig)/index.htm)

[Academic Quality Procedures: Personal Tutoring and Academic Guidance: Minimum Standards](http://www.lboro.ac.uk/admin/ar/policy/aqp/appendix/16/index.htm)

[Academic Quality Procedures: SENDA - Good Practice Checklist](http://www.lboro.ac.uk/admin/ar/policy/aqp/appendix/15/index.htm)

[Disabilities and Additional Needs Service: Advice for Staff](http://www.lboro.ac.uk/disabilities/staff/index.html)

[Disabilities and Additional Needs Service: Advice for Students](http://www.lboro.ac.uk/disabilities/students/index.html)

**5: Enterprise**

Loughborough University has a strong reputation for innovation and knowledge transfer and, as a consequence of our tradition of working closely with industry, we have been well placed to maximise the commercial applications of our research. In order to recognise and extend the University’s distinctiveness in this area, we aim to embrace Enterprise as the third stream of our activities alongside research, and teaching and learning.

Enterprise initiatives will include the development of large, strategic partnerships with business and industry, the development of our Science and Enterprise Park and the nurturing of University spin-out companies. The Pro-Vice Chancellor (Enterprise) is accountable for ensuring adherence to this framework in respect of such partnerships. Acting with integrity, openness and honesty, the PVC(E) is expected to make objective decisions concerning the choice of partners and the formation of spin-out companies and, where difficult ethical issues are encountered, demonstrate courage and consistency in those decisions with the backing of the institution as a whole. We will seek suppliers and partners who share our ethical principles and respect our institutional values, as demonstrated through their own business practices. Through our shareholding, we will encourage our wholly owned and part owned subsidiary companies to reflect our ethical principles in their own governance processes. For companies based in our Innovation Centre and other tenants occupying university premises, a commitment to the ethical principles in section 2 is a condition of tenancy.

In commercial activities, such as consultancy or IP exploitation, agreements must reward consultants and inventors fairly and respect the principles of academic freedom. Staff and students must give informed consent to confidentiality clauses where these are deemed necessary by the institution and its business partners but every effort will be made to ensure that such dealings are as transparent and accountable as possible. The process for approval of commercial activities, especially where receipt of external funding is involved, shall be subject to ethical scrutiny.

Each year, staff and members of the governing body must declare and provide details in the Register of Interests of any private consultancy work or other substantial involvement with an external organisation to ensure transparency in the University’s current and future business relationships.

The following Codes of Practice are available:

Ethical Approval Checklist for Enterprise Activities (to do)

**6: Sport**

The University is distinguished by a long history of excellence in sports performance, sports sciences, technology and engineering, and the scale and range of activity in these domains.Our reputation as the UK’s premier university for sport inspires us to act, across all activities, according to ideals which place fundamental value on participation, dedication and honest endeavour, while celebrating ever greater achievement, success fairly gained and unity across nations. We support the World Anti-Doping Agency in its fight against doping in sport.

The following detailed guidance is available:

[World Anti-Doping Code](http://www.wada-ama.org/en/World-Anti-Doping-Program/Sports-and-Anti-Doping-Organizations/The-Code/)

**7: The Arts**

An integrated approach to the further development of the arts, drawing together the University’s unique academic strengths and its acknowledged pre-eminence in knowledge transfer activities will impact positively on campus culture, the diverse local community and the region’s arts. This commitment to the arts exemplifies our broader commitment to delivering a rich academic experience, beyond the economic imperatives increasingly associated with today’s university education.

**8: The Loughborough** **Student Experience**

The Loughborough Student Experience has always been a distinctive feature of the University. It is founded on a strong culture of student involvement in an energetic but caring community, characterised by high achievement, fun and a high degree of self-organisation. Effective partnership between Loughborough Students’ Union, academic departments and support services has been central to this success, together with dynamic Hall communities and the strength of student sport.

The University attaches great importance to the student experience. We aim to provide an environment free from unfair discrimination and characterised by mutual trust, respect for personal dignity, inclusivity and equality of opportunity. This spans every phase of the student experience, from recruitment to graduation, and acknowledges our responsibilities towards students with additional needs. No student should be subjected to less favourable treatment on grounds of race, colour, nationality, ethnic origin, gender, gender identity (transsexuality), marital or civil partnership status, disability, religious or political beliefs, age, sexual orientation, pregnancy or maternity status, social or economic background.

### Students must comply with the institution’s rules and regulations, as set out in the student handbook which covers disciplinary and complaints procedures. We expect students to maintain high standards of personal and academic behaviour during their studies and we will not tolerate any form of harassment (including bullying) of or by our students. Students are expected to be open, honest and courteous with staff, with each other and with other members of the university as well as the local community. Academic freedom and freedom of speech are fundamental characteristics of the university environment. Debate, challenge and dissent are not only permitted but expected, and controversial ideas are likely to be advanced. Working with the Students’ Union, we must ensure, however, that aberrant behaviour is challenged and communicated to the police where appropriate. At the same time, we do not seek to impede the exercise of fundamental freedoms, in particular freedom of speech, through additional censorship, surveillance or invasion of privacy.

Accepting our duty of care, we will ensure the provision of appropriate support mechanisms for students including academic supervision, counselling, career education guidance and financial support for cases of genuine hardship. We will also encourage participation in extra-curricular activity, particularly through academic departments, Halls and the Students’ Union. We will empower students to take responsibility for their personal and professional development, enhancing their employability skills through, for example, the Loughborough Employability Award. In these ways and in combination with high quality taught programmes, the University aims to equip its graduates for the challenging opportunities of a rapidly changing global environment.

The following Codes of Practice are available:

[Harassment and Bullying](http://www.lboro.ac.uk/admin/personnel/policies/harass-bullying.html)

[Meetings on University Premises and on the Premises of the Loughborough Students' Union (to ensure that freedom of speech within the law is secured)](http://www.lboro.ac.uk/admin/ar/student/exams/cop/meetings.htm)

The following detailed guidance is available:

The Student Charter (not yet available)

Draft [Single Equality Scheme](http://www.lboro.ac.uk/admin/personnel/documents/SingleEqualitySchemeWorkingDraftV7.pdf)

[Guidelines for Good Practice to Support Mature Students](http://www.lboro.ac.uk/admin/ar/admissions/ug/staff/index.htm)

[Student Handbook](http://www.lboro.ac.uk/admin/ar/student/handbook/contents/index.htm)

[Student Handbook: Equal Opportunities](http://www.lboro.ac.uk/admin/ar/student/handbook/section20/index.htm)

[Student Handbook: Discipline](http://www.lboro.ac.uk/admin/ar/student/handbook/section23/index.htm)

[Student Handbook: Complaints](http://www.lboro.ac.uk/admin/ar/student/handbook/section24/index.htm)

**9: Social Impact and Engagement**

The University has developed many relationships with local and regional bodies. We have a longstanding record of positive local engagement in a variety of areas but recognise that, as a large organisation based in a relatively small setting, our local impact is more substantial than for many other institutions of similar size and is also of considerable significance. We strive to maximise our positive impact on the local and regional community through economic, civic, cultural and educational initiatives as well as through volunteering and charitable contributions. At the same time we recognise the need for specific interventions and ongoing dialogue where relationships need to be improved, especially those at the most local level.

From time to time, members of the University community receive challenges to our ethical position from outside of the University. The recipient of the challenge is expected to follow the process set out in this framework and, for all such challenges, to inform the Ethics Committee of its receipt.

The following detailed guidance is available:

Corporate Social Responsibility statement (to do)

**10: Human Resource Management**

The University values all its staff, recognising that its reputation is dependent on the commitment and excellence of its staff. Led by the Director of Human Resources, we are committed to developing a demonstrably fair and supportive environment, which is concerned with employee wellbeing and which provides equality of opportunity and freedom from unlawful discrimination on the grounds of race, colour, nationality, ethnic origin, gender, gender identity (transsexuality), marital or civil partnership status, disability, religious or political beliefs, age, sexual orientation, pregnancy or maternity status, social or economic background, or offending background. All staff hold responsibility for upholding the University’s equality and diversity policies. Equality of opportunity is embedded in the recruitment and selection of staff, training, promotion, performance and development review, induction, probation, and communication and elsewhere. We endeavour to treat people fairly on the basis of individual need and we will value the diversity in the workforce we build. All staff are encouraged to develop relevant skills and progress their careers. Training opportunities will be provided to facilitate this.

Staff must comply with the institution’s policies and procedures. In particular, when dealing with students, suppliers, business partners, government officials or other parties, no member of staff may give, offer, receive or request money or anything else of value, either directly or indirectly through connected parties, which could be construed as being intended as a bribe. Where an act of bribery is suspected, staff are obliged to take preventative action. When representing the university externally, staff should act courteously and respectfully at all times, acknowledging specific local traditions and cultures in dealings overseas. We will not tolerate sexual, physical or mental harassment (including bullying) of or by our staff. Confidentiality will be respected but conflicts of interest must be disclosed. Staff are expected to be open, honest and courteous with students, with each other, and with all members of the university community. Relationships between staff and students must be consensual and appropriately declared.

The following Codes of Practice are available:

[Harassment and Bullying](http://www.lboro.ac.uk/admin/personnel/policies/harass-bullying.html)

[Equal Opportunities](http://www.lboro.ac.uk/admin/personnel/policies/equaloppspolicy.html)

[Employment of Research Staff](http://www.lboro.ac.uk/admin/personnel/code.html)

[Disability and Employment](http://www.lboro.ac.uk/admin/personnel/policies/disabilitypolicy.html)

The following Code of Conduct is available:

[For employees and lay members of Council](http://www.lboro.ac.uk/admin/personnel/policies/codeofconduct.html)

The following detailed guidance is available:

[The Bribery Act 2010](http://www.justice.gov.uk/guidance/docs/bribery-act-2010-quick-start-guide.pdf)

[Conditions of Service](http://www.lboro.ac.uk/admin/personnel/conditions.html)

[Good Recruitment Guide](http://www.lboro.ac.uk/admin/personnel/recruitment/grgindex.html)

[Equal Pay Policy](http://www.lboro.ac.uk/admin/personnel/policies/equalpaypolicy.html)

[Policy Statement on the Employment of Ex-Offenders](http://www.lboro.ac.uk/admin/personnel/policies/exoffenders.html)

[Equality and Diversity](http://www.lboro.ac.uk/admin/personnel/equality.html)

Draft [Single Equality Scheme](http://www.lboro.ac.uk/admin/personnel/documents/SingleEqualitySchemeWorkingDraftV7.pdf)

[Employee Wellbeing](http://www.lboro.ac.uk/admin/personnel/Wellbeing/index.htm)

**11: Financial Sustainability**

The University holds and strives to maintain a secure and stable financial position, characterised by returning the operating surpluses recommended by Council. By generating funding from a wider range of sources, we seek to retain the capacity to invest in staff and facilities in areas central to our academic strategies in the face of major changes in the financial base for UK Higher Education.

Led by the Director of Finance, the university executive is accountable for the setting of budgets and policies and the implementation of procedures that conform to the highest standards in corporate governance. For example, procurement policies and procedures will deliver value for money and encourage fair and equitable, socially responsible and environmentally sustainable behaviour while an ethical investment policy will set out guiding principles for our investments together with a specific listing of current investments. Individual budget holders are accountable for exerting appropriate financial controls in their areas of responsibilities and all members of the university community must play their part in ensuring our operations are cost effective.

Our efforts to generate income and attract resource generally, whether in collaboration or competition with other HE institutions or other bodies, will be characterised by our integrity and honesty. We seek suppliers, contractors and customers who share our ethical principles and respect our institutional values, as demonstrated through their own business practices and our relationships with these partners will be based on honesty, fairness and mutual trust, including adherence to agreed terms.

The following detailed guidance is available:

[Ethical Investment Policy](http://www.lboro.ac.uk/admin/financial/downloads/ethical_investment_policy_jan2010.pdf)

[Travel, Expenses and Benefits Policy](http://www.lboro.ac.uk/admin/financial/restricted/downloads/expenses_policy_revised_16.02.10.pdf)

[Sustainable Procurement Policy](http://www.lboro.ac.uk/admin/financial/downloads/sustainable_procurement_policy_approved_council_01_april2011_amm.pdf)

**12: Marketing and Communications**

Our central marketing team undertakes corporate promotion and brand development. The communications team promotes the University on a local, national and international level and delivers internal communications. We endeavour to ensure that all marketing and promotional materials are accurate at the time of publication, not misleading, accessible and designed to help prospective students and potential partners make informed decisions. We endeavour to communicate policies, achievements and prospects honestly within and outside our university community.

The following detailed guidance is available:

[Publications Checking Procedures](http://www.lboro.ac.uk/admin/ar/policy/aqp/appendix/18/18a/index.htm)

[Recommendations for Policy and Guidelines on Departmental Publications](http://www.lboro.ac.uk/admin/ar/policy/aqp/appendix/18/18b/index.htm)

**13: Commercial Services**

The University engages in commercial activity to develop sources of revenue which exploit the University’s facilities and expertise (including its commercial skills) in ways which are consistent with, and support, its core objectives as an academic institution. All profits are ploughed back into the University. Led by the Chief Operating Officer,adherence to this framework is expected from all staff engaged in the delivery of commercial services. We will seek business partners who share our ethical principles and respect our institutional values, as demonstrated through their own business practices.

**14: Advancement and Fundraising**

Development and Alumni Relations Office is charged with building relationships with alumni and friends to deliver private support that helps to implement University strategy. In the first instance, all philanthropic donations, sponsorship and other funding that the institution applies for or is offered are vetted by the Director of Development and Alumni Relations to ensure basic compliance with law and with our ethical principles. Above an agreed threshold, whether as a single gift or as a combination of gifts, the acceptance of funding from a single source will automatically be referred to the Ethics Committee. We will not give or offer money or anything else of monetary value as an inducement to make, or as a reward for making, any decision favourable to the interests of the University. Any gifts made by us should be recorded and should be of a nature that does not invite misinterpretation if publicly disclosed.

The following Code of Practice is available:

Acceptance of Philanthropic Donations (to do)

**15: Estate**

The estate is fundamental to the delivery of the University’s aspirations. The University will encourage a ‘culture change’ within its community in terms of carbon emissions, energy usage, waste minimisation, and resource (e.g. water) consumption. Low-carbon and energy efficiency initiatives will apply to existing building stock, new build and transportation systems.

The University is committed to leading change in environmental sustainability. We will work with our own academics, and others across the sector, to ensure that innovative ideas are considered for application in the management of our own campus. We will use our expertise in transport and sustainability to make a major contribution to the sustainability agenda in the East Midlands. By the adoption of appropriate techniques and technologies, we will make Loughborough one of the UK's leading exemplars of sustainability in the academic sector, simultaneously achieving reductions in carbon emissions and cost.

The following detailed guidance is available:

[Environmental policy](http://www.lboro.ac.uk/sustainability/downloads/pdf/draft-envir-pol.pdf)

[Waste policy](http://www.lboro.ac.uk/sustainability/waste/)

[Carbon management plan](http://www.lboro.ac.uk/sustainability/downloads/pdf/carbon-management.pdf)

**16: Information Services**

High quality, fit-for-purpose information services are required to support and underpin the work of a knowledge-based organisation such as Loughborough University. For this reason, we seek to promote and facilitate the proper and extensive use of Information Technology while ensuring responsible and legal use of the technologies and facilities made available to students and staff of the University.

The following Code of Practice is available:

[ICT Pornography](http://www.lboro.ac.uk/admin/personnel/policies/ictpornography.html)

The following detailed guidance is available:

[IT Acceptable Use Policy](http://www.lboro.ac.uk/it/policies/loughborough-aup.html)

**17: Ethics Committee**

The Ethics Committee serves to advise Council on ethical matters arising in the conduct of the University’s business. It is a Joint Committee of Senate and Council with the following terms of reference:

1. To own the Ethical Policy Framework and to recommend to Council such modifications as from time to time are deemed necessary.
2. To commission and oversee the review, modification and production of the Codes of Practice and guidance which form an integral part of the Ethical Policy Framework.
3. To ensure adequate training is provided to maximise the effectiveness of the Ethical Policy Framework.
4. To receive unresolved ethical issues relating to any area of the business of the University. Such issues may result either from challenges to existing activities or as part of the process of approval of planned activities.
5. The Chair will ensure that the ethical issues raised in 4 are progressed in accordance with university strategy and are:
   1. resolved, wherever possible, by delegation to a responsible officer of the university, an individual member of the committee or, if necessary, to a sub-committee, or
   2. escalated to a full meeting of the committee for resolution, or,
   3. in cases deemed exceptional by the Chair, investigated under the guidance of the committee and passed to Senate (where the matter is under its remit) and then to Council for final resolution.
6. To consider and approve the use of specific generic protocols for regular activities.
7. As a matter of routine, to consider and approve, whenever possible, individual proposals for investigations on human participants under 5a.
8. As a matter of routine, to consider and approve, whenever possible, individual proposals for investigations falling under the jurisdiction of the Human Tissues Authority under 5a.
9. To provide minutes to Senate and Council to ensure appropriate scrutiny of its decisions.
10. To meet at least once in each academic year.

Membership:

Chair: Lay member of Council

Deputy VC

COO

Director of External Affairs

Chairs of the sub-committees:

* Ethical Approvals (Human Participants) s-c.
* Ethical Approvals (Human Tissue) s-c
* Other sub-committees as established from time-to-time

One PVC and one Dean of School

Ethical and Environmental Officer (Students' Union)

1 member elected from Senate

1 member of Council (appointed by the Chair of Council on behalf of Council).

Up to 4 co-opted members

In addition, expert opinion may be sought from outside the committee on an issue-by-issue basis.

**18: Principal Sources of Information**

A number of sources of information have informed the development of this framework. These have included:

* The Council for Industry and Higher Education: Ethics Matters – Managing Ethical Issues in Higher Education.
* The Council for Industry and Higher Education: Reviewing the effectiveness of ‘Ethics Matters – Managing Ethical Issues in Higher Education’.
* Royal Academy of Engineering Statement of Ethical Principles.
* OECD Guidelines for Multinational Enterprises.

**19: Further Information**

If your concerns have not been fully addressed by this Ethical Policy Framework, its Codes of Practice or the additional guidance provided, your next steps should be to:

* Raise the issue locally and in confidence with, for example, your tutor, supervisor, line manager or Dean of School.
* If resolution cannot be reached, you or your representative (as above) should refer the case to the person responsible for the area of activity in which the issue falls (see Appendix 3).
* If resolution still cannot be reached, the person responsible for the relevant area of activity should raise the matter with the Secretary of the Ethics Committee who will pass it to the Chair for consideration.

**Appendix 1: Legal Requirements**

University guidance is available covering the following areas:

[Freedom of Information](http://www.lboro.ac.uk/admin/ar/policy/foi/)

[Data protection](http://www.lboro.ac.uk/admin/ar/policy/dpact/)

**Appendix 2: Ethical checklists**

For some actions, e.g. approval of experiments with human participants, dedicated checklists have already been formulated and should be used. For other actions, dedicated checklists should be developed over time, assisted by the generic checklists. For example, a dedicated checklist will be formulated against which to consider research funding proposals, to be completed independently by the principal investigator and the research office. For consultancy, a dedicated checklist might be completed by the consultant and the LUEL consultancy manager while, for IP exploitation, the checklist might be completed by the inventor and the Head of IP Commercialisation.

Ethical issues, however, will arise from such diverse activities that in many cases a dedicated checklist will not be available. The quick test is intended to prompt a reviewer or challenger to begin to consider the action in question in simple terms. The generic ethical checklist prompts more detailed consideration of ethical issues

‘Yes’ responses allow the action to proceed through the ethical approval process straightforwardly. ‘No’ or ‘Not sure’ responses should, in the first instance, promote amendments where possible and acceptable, or further investigation before re-submission. Remaining ‘No’ and ‘Not sure’ responses then form the basis of a submission either for local resolution or for the attention of the person responsible for the area of activity.

It is essential that reviewers consider the implications of an action in all areas of the University’s business, not just in the area within which the action arises. For example, how would a particular research project be viewed by potential applicants for taught programmes?

**The ethical quick test**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Question | yes | no | Not sure | Comments |
| Is the action legal? |  |  |  |  |
| Does the University already have a dedicated procedure for approval of such actions? |  |  |  |  |
| Does the action adhere without question to the ethical principles in section 2 of the framework? |  |  |  |  |
| Is the action free from obvious conflicts with relevant sections of the ethical framework? |  |  |  |  |
| Will I be proud of the action and its outcomes? |  |  |  |  |
| Will I feel comfortable about the action and its outcomes? |  |  |  |  |
| Will the action look acceptable in the media? |  |  |  |  |
| Will the action look acceptable to my colleagues, friends or family? |  |  |  |  |

**The generic ethical checklists**

This generic checklist is based on strategy areas and the statement of ethical principles

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **In which areas of the University’s business are there ethical or other implications arising from the action?** | **Yes** | **No** | **Not sure** | **Comments** |
| Research |  |  |  |  |
| Learning and Teaching |  |  |  |  |
| Enterprise |  |  |  |  |
| Sport |  |  |  |  |
| The Arts |  |  |  |  |
| The Loughborough student experience |  |  |  |  |
| Social Impact and Engagement |  |  |  |  |
| Human Resource Management |  |  |  |  |
| Financial Sustainability |  |  |  |  |
| Marketing and Communications |  |  |  |  |
| Commercial Services |  |  |  |  |
| Advancement and Fundraising |  |  |  |  |
| Estate |  |  |  |  |
| Information Services |  |  |  |  |

| **Is the action consistent with our institutional commitments to:** | **Yes** | **No** | **Not sure** | **Comments** |
| --- | --- | --- | --- | --- |
| the creation, transmission and dissemination of knowledge for the social and economic enrichment of society? |  |  |  |  |
| the seven overarching ethical principles of selflessness, integrity, objectivity, accountability, openness, honesty and leadership? |  |  |  |  |
| accepting our social, economic and environmental responsibilities and contributing to the wider goal of sustainable development? |  |  |  |  |
| the protection of equity, human rights and civil liberties\* around the world? |  |  |  |  |
| supporting the academic freedom to further knowledge and debate, within UK law? |  |  |  |  |
| excellence in all our activities? |  |  |  |  |
| good governance and collegiate, transparent leadership? |  |  |  |  |
| safe working practices? |  |  |  |  |
| fair, rigorous and transparent processes and practice? |  |  |  |  |
| encouraging social mobility and widening participation? |  |  |  |  |
| regarding legal compliance as a minimum expectation but not as a sufficient response to an ethical challenge? |  |  |  |  |
| intolerance to initiation or collusion in harmful acts? |  |  |  |  |
| intolerance to improper inducements to influence decisions affecting the interests of the University? |  |  |  |  |
| intolerance to retaliation or retribution against any person who in good faith challenges our ethical position? |  |  |  |  |
| fostering a collegial community characterised by inclusivity, equality of opportunity, the valuing of diversity, mutual trust, respect for personal dignity and the promotion of unity across nations? |  |  |  |  |
| respect for our diverse local community? |  |  |  |  |
| listening to all members of the university community, past and present? |  |  |  |  |
| the promotion of health and well-being? |  |  |  |  |
| valuing participation, dedication and honest endeavour? |  |  |  |  |
| celebrating ever greater achievement and success fairly gained? |  |  |  |  |

\* Civil liberties (<http://legal-dictionary.thefreedictionary.com/civil+liberties>)

The rights or freedoms given to the people by the First Amendment to the [US] Constitution, by common law, or legislation, allowing the individual to be free to speak, think, assemble, organise, worship, or petition without government (or even private) interference or restraints.

What rights does the Human Rights Act protect? (<http://www.liberty-human-rights.org.uk/human-rights/human-rights/the-human-rights-act/index.php>)

* The right to life – protects your life, by law. The state is required to investigate suspicious deaths and deaths in custody.
* The prohibition of torture and inhuman treatment – you should never be tortured or treated in an inhuman or degrading way, no matter what the situation.
* Protection against slavery and forced labour – you should not be treated like a slave or subjected to forced labour.
* The right to liberty and freedom – you have the right to be free and the state can only imprison you with very good reason – for example, if you are convicted of a crime.
* The right to a fair trial and no punishment without law - you are innocent until proven guilty. If accused of a crime, you have the right to hear the evidence against you, in a court of law.
* Respect for privacy and family life and the right to marry – protects against unnecessary surveillance or intrusion into your life. You have the right to marry and raise a family.
* Freedom of thought, religion and belief – you can believe what you like and practise your religion or beliefs.
* Free speech and peaceful protest – you have a right to speak freely and join with others peacefully, to express your views.
* No discrimination – everyone’s rights are equal. You should not be treated unfairly – because, for example, of your gender, race, sexuality, religion or age.
* Protection of property, the right to an education and the right to free elections – protects against state interference with your possessions; means that no child can be denied an education and that elections must be free and fair.

**Appendix 3: Responsible Persons**

|  |  |  |
| --- | --- | --- |
| **Strategy Area** | **Responsible Post** | **Current Post-holder** |
| Research | PVC(R) | Ken Parsons |
| Learning and Teaching | PVC(T) | Morag Bell |
| Enterprise | PVC(E) | Phill Dickens |
| Sport | Director of Sport | Chris Earle |
| The Arts | Director of Arts | Nick Slater |
| The Loughborough Student Experience | Director of Student Services | Nigel Thomas |
| Social Impact and Engagement | Director of External Affairs | Jon Walker |
| Human Resource Management | Director of Human Resources | Rob Allan |
| Financial Sustainability | Director of Finance | Paula Powditch |
| Marketing and Communications | Director of Marketing and Communications | Ian Cairns |
| Commercial Services | Chief Operating Officer | Caroline Walker |
| Advancement and Fundraising | Director of Development and Alumni Relations | Ron Gray |
| Estate | Director of Facilities Management | Andrew Burgess |
| Information Services | Director of IT Services | Phil Richards |

Remit for the Responsible Person:

* To own the relevant section of this framework, ensuring that guidance provided, including linked documents, is accurate and sufficient. When the formulation of additional guidance is necessary, to recommend such action to the Ethics Committee.
* To guide the review, modification and production of Codes of Practice and guidance documents within their area of responsibility as requested by Ethics Committee.
* To receive ethical issues relating to their area of the business of the University which members of the university community have not been able to resolve locally.
* Where such issues still cannot be resolved, to ensure that the issue is considered within the process laid out in this framework.