

# A15 Code of Practice on Research Ethics

## Table of Contents

<b>1 Introduction</b>	<b>2</b>
<i>1.1 Purpose</i>	2
<i>1.2 Definition of Research</i>	2
<b>2 Scope</b>	<b>2</b>
<b>3 When is Ethical Approval Required?</b>	<b>2</b>
<b>4 SAE Scholarship and Research Ethics Committee</b>	<b>3</b>
<i>4.1 Membership</i>	3
<i>4.2 Frequency</i>	3
<i>4.3 Quorum</i>	3
<i>4.4 Terms of Reference</i>	3
<b>5 Guiding Principles and Values</b>	<b>3</b>
<i>5.1 Responsibilities of Supervisors</i>	4
<i>5.2 Responsibilities of Researchers Following Review/Approval</i>	5
<b>6 Policy History</b>	<b>5</b>
<b>Appendix A: Process for Ensuring Consideration of Ethical Issues in Research</b>	<b>6</b>
<i>A.1 Basic Principles</i>	6
<i>A.2 Ethical Approval Process</i>	7
<i>A.3 Research Ethics Review/Approval Appeals</i>	7
<b>Appendix B: Ethical Approval Form</b>	<b>8</b>

## 1 Introduction

### 1.1 Purpose

SAE Institute is committed to operating in an ethical way in every area to ensure the highest possible standards of decision-making and accountability.

This Code of Practice sets out the role, responsibilities, guiding principles and values of those conducting research as well as those supervising the research. Responsibilities towards all participants and subjects of research (including humans, animals, the environment, and any cultural materials) are covered herein.

### 1.2 Definition of Research

For the purposes of this Code of Practice, 'research' is defined as any form of systematic, critical and/or creative enquiry that aims to contribute to a body of knowledge. It includes scholarly activity which analyses, synthesises and provides interpretations of ideas and information with the aim of contributing to the intellectual infrastructure of subjects and disciplines.

## 2 Scope

This document forms part of the SAE Quality Manual, which contains all academic and public-facing policies for any SAE campus delivering validated degree programmes.

## 3 When is Ethical Approval Required?

Ethical Approval is required for all research that involves human participants. This is sometimes applicable to the use of data derived from humans. Research, requiring ethical approval, must not begin without full prior approval.

The term 'research' should be interpreted in its broadest sense, as in section 1.2. It encompasses a range of data-collection methods supported by scholarship.

The requirement to obtain ethical approval may be further explored in research-based teaching as well as with the supervising lecturer.

## 4 SAE Scholarship and Research Ethics Committee

### 4.1 Membership

- Campus Academic Coordinator (Chair)
- Quality Manager or equivalent (Deputy Chair)
- Learning and Teaching Managers
- Programme Coordinators (a representation is only required).

### 4.2 Frequency

The Committee should meet three times annually, prior to the start of each trimester where research projects are being undertaken.

### 4.3 Quorum

The quorum for any meeting of the SAE Research Ethics Committee should be four members. This must include the Chair or Deputy Chair.

### 4.4 Terms of Reference

- To oversee all undergraduate and postgraduate projects for the applicable region(s) of SAE Institute.
- To approve all research projects as determined by the guidelines set out in this document
- To make a determination on any serious breach of scholarly or ethical matters related to academic activity

## 5 Guiding Principles and Values

SAE Institute recognises that it must earn and maintain a reputation for integrity that includes, but is not limited to, compliance with laws and regulations and its contractual obligations. In many areas of activity, there are no relevant laws or regulations. In these cases, as in all others, SAE Institute will operate within a framework established by the

Seven Principles of Public Life: integrity, objectivity, openness, selflessness, accountability, honesty and leadership. Through the Scholarship and Research Ethics Committee, as well as regional Programme Coordinators and collaboration with University partner, SAE will endeavour to enhance interdisciplinary research and good research practice.

SAE Institute has an agreed set of core behavioural values that all staff should demonstrate in all that they do, in alignment with the approved Code of Conduct. SAE strongly supports and encourages in all research and practice honesty, rigour, transparency and open communication, care and respect.

1. **Honesty and Integrity.** This is more than observing professional standards; it is about being open, truthful, and demonstrating considered and sound judgement. In all of our work we will act ethically and avoid conflicts of interest; we will not take decisions in order to gain financial or other material benefits; we will not misuse or abuse any Intellectual Property belonging to ourselves or others. To this end we will declare and resolve any conflicts of interests and relationships and be honest and offer constructive feedback.
2. **Mutual Support.** In all our working relationships we treat others with consideration, dignity, and respect, and build a strong ethos of sharing and consultation. For example, we will consult and involve others in decisions and try to understand each other's points of view, particularly in collaborative and interdisciplinary work.
3. **Strong Personal Commitment to Colleagues and Students.** We aim to understand people's needs and to see things from our students', colleagues' and clients' perspectives. We seek and listen to others' feedback, show them that we care, and deliver what we say we will.
4. **Taking Personal Responsibility.** We demonstrate a strong sense of responsibility to students, colleagues, and SAE Institute. We are flexible, where appropriate, and challenge ourselves to do better. All staff members are expected to act honestly, conscientiously, fairly, reasonably, and in good faith at all times, having regards to their responsibilities, the interests of SAE Institute, and the rights and interests of colleagues and students.

## 5.1 Responsibilities of Supervisors

---

Students undertaking research as part of degree studies must be supervised by an academic member of staff, acting as the project supervisor. If a member of staff is also a

student conducting research, then he/she must have an appropriate academic member of staff as his/her supervisor. The supervisor is responsible for ensuring compliance with the required ethics review and approval conditions.

## 5.2 Responsibilities of Researchers Following Review/Approval

Compliance with this Code of Practice is the shared responsibility of the researcher and supervisor. Following approval, the researcher and supervisor must:

- Report (in writing) any possible adverse effects or potential risks (serious or non-serious) to participants, the researcher(s) or others and include details of mitigating actions or amendments to the study; and
- Seek research ethics committee approval for any changes in an approved research study including, but not limited to, research subjects, length of study or methodology. The changes may not be implemented prior to approval. Where there is an immediate need to avoid harm the Chair of the Research Committee is permitted to approve the change as a special case and then circulate the special case details to the committee membership by flying minute.

## 6 Policy History

Policy Created:	November 2022
Date of Last Revision:	November 2022
Approved by:	CM, November 2022

## Appendix A: Process for Ensuring Consideration of Ethical Issues in Research

### A.1 Basic Principles

SAE research observes the basic principles set out by The Association of Research Ethics Committees as follows:

<b>Autonomy</b>	The participant must normally be as aware as possible of what the research is for and be free to take part in it without coercion or penalty for not taking part, and also free to withdraw at any time without giving a reason and without a threat of any adverse effect.
<b>Beneficence</b>	The research must be worthwhile in itself and have beneficial effects that outweigh any risks; it follows that the methodology must be sound so that best results will be yielded.
<b>Non-maleficence</b>	Any possible harm must be avoided or at least mitigated by robust precautions.
<b>Confidentiality</b>	Personal data must remain unknown to all but the research team (unless the participant agrees otherwise or in cases where there is an overriding public interest, or where participants wish their voices to be heard and identified).
<b>Integrity</b>	The researcher must be open about any actual or potential conflicts of interest, and conduct their research in a way that meets recognised standards of research integrity.

Research ethics review processes provide safeguards for staff, students and participants, and can positively contribute to further understanding of ethical issues, research methods and processes for students and staff. It should also be noted that research conducted without appropriate research ethics approval risk not being covered by SAE Institute's insurance. This may result in the researcher and supervisor being personally liable in a legal action.

## **A.2 Ethical Approval Process**

1. Prior to submitting a request, students must read the Code of Practice on Research Ethics.
2. Under the guidance of the allocated supervisor, students shall complete the Ethical Approval Form (Appendix B) and submit it together with the Project Proposal.
3. The form shall be signed by both the student and the supervisor.
4. The Academic Coordinator for the campus shall review the Ethical Approval Forms, paying particular attention to any potential areas of concern (usually indicated by a 'tick' in a box on the Form).
5. Upon the end of each term the regional Scholarship and Research Ethics Committee will review the Ethical Approval Forms and address recommendations and concerns where needed.
6. Any projects that do not meet the approval of the Committee will be returned with written commentary on why approval was not given, to allow review by the researcher and their supervisor.
7. Where the form indicates potential areas of concern (that is, where ethical questions have been raised), the regional Scholarship and Research Ethics Committee shall refer the matter to the SAE Research Ethics Committee.
8. The relevant coursework shall include a written statement on how consideration was given to ensuring research ethics were upheld during the process of researching.

## **A.3 Research Ethics Review/Approval Appeals**

If staff or students are dissatisfied with the decision made by the Research Ethics Committee, they should discuss this with the Chair of the Committee. If the matter is not resolved, an appeal against the decision of the Scholarship and Research Ethics Committee may be made to the regional Academic Board.

## Appendix B: Ethical Approval Form

All students planning to undertake research-based projects are required to submit a Project Proposal. Students should note the following:

- It is essential that students have an understanding of ethical considerations central to planning and conducting research. Please refer to Code of Practice on Research Ethics further information.
- Approval to carry out research does not exempt students from ethics committee approval from institutions within which you may be planning to conduct the research, e.g. hospitals, local education authorities, prisons services, etc.

### Part A: Questionnaire

Please answer each of these questions by clicking in the Yes or No column

	Question	Yes	No
1	Has the project proposal, including ethical considerations, been completed and submitted to your supervisor?	<input type="checkbox"/>	<input type="checkbox"/>
2 a	Will the project involve an intervention or change to an existing situation that may affect people and/or an evaluation of outcomes of an intervention?	<input type="checkbox"/>	<input type="checkbox"/>
2 b	If yes, have participants been given information about the aims, procedure and possible risks involved, in easily understood language? (Attach a copy of any information sheet you may have provided, or intend to provide)	<input type="checkbox"/>	<input type="checkbox"/>
3	Will any person's position, treatment or care be in any way prejudiced if they choose not to participate in the project?	<input type="checkbox"/>	<input type="checkbox"/>
4	Can participants freely withdraw from the project at any stage without risk or prejudice?	<input type="checkbox"/>	<input type="checkbox"/>
5 a	Will the project involve working with or studying minors (i.e. persons under 16 years of age)?	<input type="checkbox"/>	<input type="checkbox"/>
5 b	If yes, will signed parental consent or <i>in loco parentis</i> be obtained?	<input type="checkbox"/>	<input type="checkbox"/>
6	Are there any questions or procedures likely to be considered in any way offensive or inappropriate?	<input type="checkbox"/>	<input type="checkbox"/>



7 a	Have all necessary steps been taken to protect the privacy of participants and the need for anonymity?	<input type="checkbox"/>	<input type="checkbox"/>
7 b	Is there provision for the safekeeping of written data and video/ audio recordings of participants?	<input type="checkbox"/>	<input type="checkbox"/>
8	If applicable, is there provision for debriefing participants after the intervention or project?	<input type="checkbox"/>	<input type="checkbox"/>
9	If any specialised instruments, for example psychometric instruments are to be employed, will their use be controlled and supervised by a qualified practitioner e.g. a psychologist?	<input type="checkbox"/>	<input type="checkbox"/>
1 0	Will you need to put your proposal through an ethics committee related to your professional work?	<input type="checkbox"/>	<input type="checkbox"/>

If you ticked any of the white boxes on Part 1 of the ethics approval form, please type in any further information alongside the relevant question number below.

1	
2	
3	
4	
5	
6	
7	
8	
9	
1 0	

**Part B: Ethics Approval Form, Signatories Sheet**

Student's name

Qualification sought

Project title

Name of supervisor

*I confirm that the information provided on the ethical approval form is correct:*

Signature of student

Date

*Given the information provided, I support the approval of this proposal on ethical grounds:*

Signature of supervisor

Date

*Given the information provided, I approve of this proposal on ethical grounds:*

Signature of Chair of Scholarship and Research Ethics Committee