

RESEARCH ETHICS POLICY

Version Control and Change History

| Policy № | Version Number | Date of Approval | Date of Affectivity | Approval | Amendment |
|-----------------|----------------|------------------|---------------------|---------------|--|
| ICEM-RE-05-2021 | V.02 | 23 Sep 2021 | 23 Sep 2021 | College Board | 1. RELATED POLICIES 2. FORMS 3. DOCUMENT CONTROL |

1. PURPOSE

This policy was established to uphold ethical and professional standards in research activities, and to ensure that proper procedures are followed in the event of misconduct allegations.

2. SCOPE

The Policy applies to all researchers, supervisors and students conducting research under the auspices of the college.

3. RESPONSIBILITY

Dean, REC, ADAA, HoDs and HR shall implement and comply with this policy.

4. POLICY

1. The College expects staff and students should be aware of and adhere to the College's Code of Conduct for Research.
2. Staff and students should be aware of and address any ethical issues relating to their work.
3. Staff and students should adhere to the law and must comply with the College's Health and Safety policies and practices.
4. Any faculty, student, or staff accused of research misconduct shall have to undergo a due process of investigation prior to any decisions.
5. Penalties for academic misconduct in research for staff shall be determined as per HR policies.

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6. Penalties for academic misconduct in research for students shall be determined as per Academic policies and procedures.

General Principles:

1. Staff and students should consider the implications of their work in relation to: respect for autonomy, non-maleficence, beneficence, and justice.
2. Students may not initially be aware of the College's ethical principles, but by the time they work on their final year dissertation/project they should be aware of them and of the role of the college and REC committee in overseeing such work.
3. The College will make reasonable adjustments whenever possible to enable individual staff or students to carry out their work without compromising their ethical principles.
4. Researchers should consider any conflicts of interest between the researcher, funder/s, and/or participants, and the wider community. Refer to Policy on Conflict of Interest in Research
5. The following sections outline ethical principles and guidelines for work in areas that raise particular ethical issues.

Ethical Principles for Work with Human Participants

1. In all circumstances, researchers must take into account the ethical implications of their work. In doing so, they must make an effort to consider the perspectives of all parties that may be impacted by the research: participants, colleagues, members of the public, potential end-users, funding agencies, and the researchers themselves.
2. Participants should give their informed consent (written or verbal) before any research is undertaken. Whichever form of consent is used, a record should be kept for audit purposes.

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3. The researcher must exert their best efforts to supply ample information regarding the purpose, methods, and duration of the study to participants, and inform them of any aspects of the research that may reasonably impact their willingness to participate.
4. If the nature of the research is such that fully informed consent is not possible, additional safeguards are required to protect the welfare, dignity, and privacy of participants.
5. When conducting research involving infants and children below the age of 16, consent should generally be obtained from their parents or legal guardians to ensure informed consent.
6. In situations, where obtaining informed consent from adults with impairments in understanding or communication is not possible (such as elderly individuals in care), extra care should be taken.
7. Researchers must recognize that they may sometimes hold a position of authority over participants, who may include students, employees, clients, or prisoners. It is imperative that they refrain from leveraging this authority to coerce individuals into participating in research.
8. Withholding information from participants is unacceptable except where this forms an essential part of the research.
9. In studies where participants are aware of their involvement in an investigation, researchers must, after data collection, provide participants with adequate information at a suitable level to enable them to comprehend the nature of the research.
10. Researchers must explicitly inform participants that they possess the right to refuse participation or to withdraw from the research at any point during data collection.
11. All information collected about a participant during an investigation must be kept confidential unless an agreement has been reached in advance. If confidentiality cannot be guaranteed for any reason, participants must be informed beforehand and provide explicit consent for the release of their information.
12. Researchers have a primary responsibility to protect participants from any unnecessary harm arising from the investigation.

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Ethical Principles for Work with Chemicals

1. All activities involving the use of chemicals must adhere to the health and safety regulations, procedures, and practices of the College, and proper disposal methods must be employed.
2. The potential for any negative impact from a specific chemical work should be balanced against the benefits of conducting such work.

Ethical Principles for Work in the Environment

1. Work in the environment encompasses any fieldwork conducted in natural or man-made environments that focuses on either the environment itself or the people who inhabit and work in those surroundings.
2. The primary ethical concerns in environmental work pertain to the relationship between individuals and the environment.
3. Researchers must strive to minimize any disturbance to the natural environment, except where changes to the environment can be substantiated (such as reducing pollution, increasing food production, or improving biodiversity).
4. All environmental work should comply with relevant College Health & Safety policies and procedures including those relating to fieldwork and to hazardous equipment.

5. PROCEDURE

1. The researcher should fill the research ethics form and submit it to Research and Ethics Committee (RF-Form-03: Research Ethics Form for Staff & RF-Form-08: Research Ethics Form for Students).
2. If any allegations of research misconduct are made against a staff member, a written complaint (RF-Form-09: Research Misconduct Complaint for Staff) from a known

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complainant must be filed with the Head of Department (HoD) in order to commence an investigation.

3. The HoD shall submit the complaint to the Research and Ethics Committee.
4. The Research and Ethics Committee (REC) will review the evidence and provide a preliminary decision within two weeks as to whether there is enough evidence to proceed with an investigation. The complainant will be notified of the decision regarding the merits of the complaint within two weeks of the receipt of the complaint.
5. If the evidence is deemed sufficient to proceed with an investigation, the HR committee will initiate the investigation, and the results will form the basis for the decision regarding the complaint. The party accused of misconduct will receive notification of the decision within one month from the date of investigation, and the complainant will be provided with a copy of the resolution.
6. A person accused of research misconduct may appeal the result of the decision to the College Board through the Office of the College Dean.
7. The decision of the College Board is final.
8. The penalty for research misconduct shall be determined as per HR policies and procedures.
9. If any allegations of research misconduct are made against a student, the complainant (such as the module tutor/supervisor) must submit an Allegation of Plagiarism Form (ADAA-Form-15 Allegation of Plagiarism Form) to the AUMEP committee for investigation. The investigation will be conducted in accordance with the UMEP procedures outlined in Section 5.3.4.

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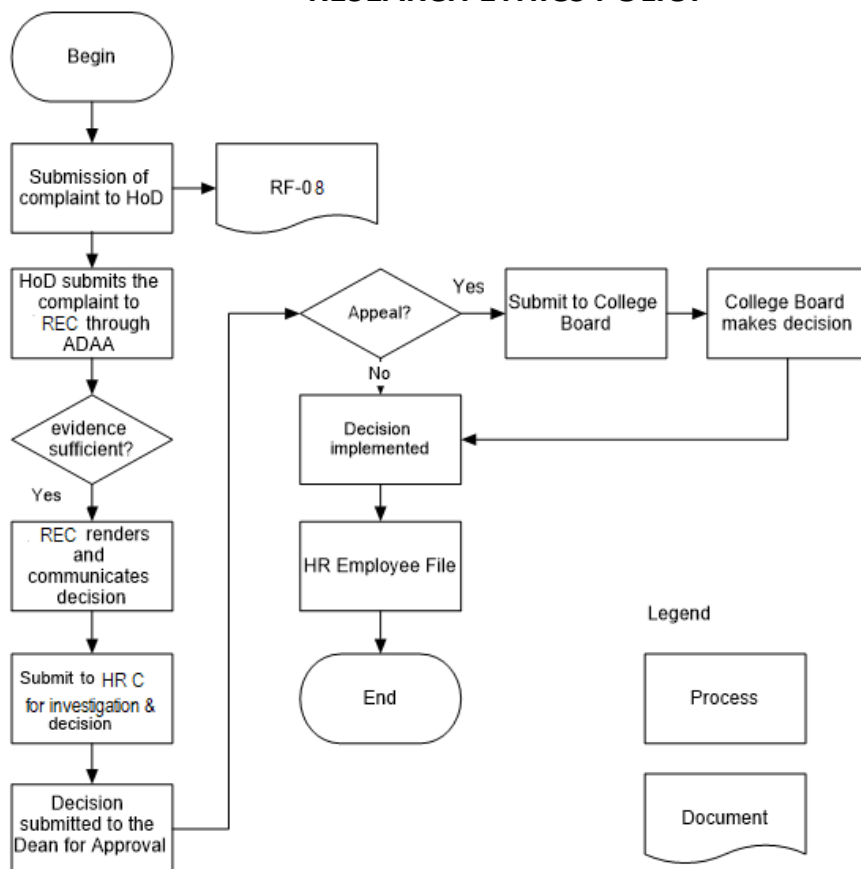


Figure 1: Complaint Procedure

6 RELATED POLICIES

Research Policy

Research Support and Funding Policy

7 FORMS

RF-Form-03: Research Ethics Form for Staff

RF-Form-08: Research Ethics Form for Students

RF-Form-09: Research Misconduct Complaint for staff

ADAA-Form-15: Allegation of Plagiarism Form

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8 DOCUMENT CONTROL

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|--------------------------------|---|
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