Code of Ethics

Effective from 30 September 2019

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1. Introduction

Newcastle University exists to advance education, learning and research for the public benefit. Our vision is to build on this core purpose to address global problems through excellence in education, research and engagement and, in doing so, provide new knowledge and creative solutions that make a positive impact on the society we serve.

2. Core Values

As part of our Vision and Strategy, we will maintain and enhance our longstanding commitment to equality, diversity, inclusion, respect and social justice, while continuing to protect the principle of academic freedom. We are passionate in our belief that universities should play a fundamental role in creating and fostering societies that are more equitable.

There are a number of additional fundamental values common throughout the higher education sector to which everyone at Newcastle University should commit. These include tolerance and open-mindedness, trust and integrity, transparency and parity of esteem.

3. Government and Oversight

The University's governing body, Council, has overall authority on ethical issues. For matters relating to our research work, including that conducted by students, the three Faculty-based Ethics Committees have responsibility overseen by University Ethics Committee. For corporate matters, reputational risk and ethical issues relating to donations, Executive Board has day-to-day responsibility. Partnerships relating to teaching are considered via the University Education Committee, engagement partnerships (non-commercial) via the University Engagement and Place Committee, commercial partnerships fall under the remit of University Research and Innovation Committee (where it is not deemed to be a corporate matter), and international partnerships reviewed by the University Global Committee.

The University is committed to sound corporate governance and supports the Nolan Committee's 'seven principles of public life' for the conduct of its affairs, namely: selflessness, integrity, objectivity, accountability, openness, honesty and leadership.

4. Principles

For an organisation of our nature and size, the policies and procedures are necessarily, lengthy and complex. However, in order to assist colleagues and students, we have designed a small number of guiding principles that underpin our general stance on ethics and with which colleagues are expected to comply:

- We are guided by our status as an educational charity with the object, for public benefit, to advance education, learning and research.
- We believe in transparency – we will provide timely, regular and reliable information on activities, financial situation and performance.
- We believe in institutional accountability and proportionality.

Therefore we:

- Conduct our operations with integrity, honesty and openness, and with respect for the rights of others.
- Respect the legitimate interests of those with whom we have a relationship.
- Comply with the laws in the countries in which we operate.
- Promote and support a positive respect for diverse cultures.
- Design our decision-making processes to manage conflict of interest arising from those with a direct, personal or beneficial interest.
- Do not give or receive, either directly or indirectly, bribes or other improper advantages for business or financial gain.
- Seek to address issues at an early stage and in a supportive manner.

In order for the University to maintain a strong ethical approach, it is important for individuals to take personal responsibility and for them to be supported by their line managers. **The key starting point is for colleagues always to declare any issue of concern and to seek advice and guidance from the relevant area of the University (as summarised below). If in doubt, ask.**

5. Where can I seek further guidance?

Issue	Advice available from
Academic work using animals (this whole area is very heavily regulated and controlled)	Ethical Review Committee E-mail: cbc-office@ncl.ac.uk
Academic work involving human participants or sensitive data	Faculty Ethics Committees HaSS wendy.davison@ncl.ac.uk FMS fmsethics@ncl.ac.uk SAgE sage.ethics@ncl.ac.uk
Academic work that might involve environmental or other damage	Faculty Ethics Committees HaSS wendy.davison@ncl.ac.uk FMS fmsethics@ncl.ac.uk SAgE sage.ethics@ncl.ac.uk Environment & Sustainability Committee (Hannah Owens)
Acceptance of a benefaction	Advancement Office advancement@ncl.ac.uk
Acceptance of external funding for research, teaching, or commercial activity	Research Strategy & Development david.hill@ncl.ac.uk Business Development & Enterprise martin.cox@ncl.ac.uk
Conflict of interest	Research Strategy & Development or Registrar res.policy@ncl.ac.uk john.hogan@ncl.ac.uk
Gifts and hospitality (both receiving and giving) – basic rule do not give or accept gifts or hospitality worth more than £100.	Registrar john.hogan@ncl.ac.uk
Personal expenses	Finance payroll@ncl.ac.uk
Undertaking paid work for another organisation	Research Strategy & Development david.hill@ncl.ac.uk; martin.cox@ncl.ac.uk
Workplace difficulties	People Services or the trade unions HaSS: craig.armstrong@ncl.ac.uk FMS: marian.phillipson@newcastle.ac.uk SAgE: claire.brunton@newcastle.ac.uk PS: kathryn.scott@newcastle.ac.uk

Note: the names and contact details in this table will be updated from time to time.
See also our delegation of authority regulations.

5. Decisions

The principles outlined in this code should be used when making decisions. **When decisions are made a good test is how you would explain your actions if you had to justify them publicly? What would be the impact on your reputation or that of the University?**

6. Policies and Procedures

We have a wide range of policies that embed our values. These can all be found from the home page under Policies and some key ones are summarised below.

a. List of Policies where people are personally responsible for their own behaviours
- Standards of Behaviour
- Code of Conduct for Associates, Guests and Visitors of the University
- Consultancy and other external professional work
- Procedure on Declaration of External Interests
- Dignity and Respect Procedure
- Dignity and Respect Policy
- Email Principles
- Equality, Diversity and Inclusion commitments
- Fraud, Corruption and Financial Misconduct
- Gifts and Hospitality
- Internet Use
- Policy on Use of IT Facilities
- Code of Conduct: Personal Relationships
- Ethics Policy for Research, Teaching and Consultancy
- Travel and Expenses Policy

b. List of Policies concerning Corporate Behaviour
- Equality, Diversity and Inclusion commitments
- Ethical Policy for the Acceptance of Philanthropic Donations
- Fairtrade Policy
- Financial Regulations
- Freedom of information
- Freedom of Speech
- Health and Safety Policy
- Slavery and Human Trafficking Statement
- Socially Responsible Investment
- Value for Money

7. Escalation Procedures

Some of the policies and guidance listed above have their own escalation procedures but in addition, we have a number of generic ones:
- Grievance Policy
- Policy and Procedure on Public Interest Disclosure (Whistleblowing)

Document Control Information	
Does this replace another policy? Yes / **No**	
Approval	
Approved by: John Hogan, Registrar	Date: 30.09.2019
Effective from: 30 September 2019	
Review date: 30 September 2022	
Responsibilities	
Executive Sponsor:	
Policy Owner: John Hogan, Registrar	
Person(s) responsible for compliance:	

Consultation		
Version	Body consulted	Date

Equality, Diversity and Inclusion Analysis:	
Does the policy have the potential to impact on people in a different way because of their protected characteristics? No	
Initial assessment by:	Date:
Key changes as a result of Equality, Diversity and Inclusion Analysis	

Document location
https://newcastle.sharepoint.com/docs/Corporate%20Policies/Forms/AllItems.aspx