

# **Ethics Policy**

**2018-19**



# Index

<b><u>1.</u></b>	<b><u>Introduction</u></b>	<b><u>3</u></b>
<b><u>2.</u></b>	<b><u>Ethical principles</u></b>	<b><u>3</u></b>
	2.1 Selflessness	3
	2.2 Integrity	3
	2.3 Responsibility and accountability	4
	2.4 Academic freedom and freedom of speech	4
	2.5 Dignity and respect	4
	2.6 Collegiality	5
	2.7 Sustainability	5
<b><u>3.</u></b>	<b><u>Application of the ethical principles</u></b>	<b><u>5</u></b>
<b><u>4.</u></b>	<b><u>Whistleblowing Procedure</u></b>	<b><u>6</u></b>
	4.1 Raising a concern	7
	4.2 Investigation	7
	4.3 Decision	7
	4.4 Confidentiality and anonymity	8
	4.5 Protection for whistleblowers	8
<b><u>5.</u></b>	<b><u>Related regulations, policies and procedures</u></b>	<b><u>8</u></b>
<b><u>6.</u></b>	<b><u>Review</u></b>	<b><u>9</u></b>

## Committee Approval

<b>Committee</b>	<b>Committee Action</b>	<b>Date</b>
SMLT	Recommended for approval	5 September 2018
Board of Directors	Approved	21 September 2018
	<b>Date in force</b>	<b>21 September 2018</b>

The Ethics Policy will be reviewed annually by our Senior Management and Leadership Team (SMLT). Any amendments require the approval of our Board of Directors.

## Introduction

Our values are as follows:

- **Be inclusive:** Welcome difference as a source of strength and enrichment.
- **Be curious:** Ask questions. Be open to new ideas. Yearn to learn.
- **Show courage:** Challenge yourself. Dare to think differently. Stand up for what's right.
- **Make things happen:** Take ownership. Act responsibly. Get things done.
- **Don't be mean:** Talk straight. Don't play games. Treat people well.

This Ethics Policy builds upon our values by setting out seven ethical principles that we expect all our directors, staff, students and external members who are represented on our committees to act in accordance with.

Our ethical principles reflect the following provisions of Regulation 3 of our Articles of Association:

- We will respect the principle of academic freedom, subject to compliance with our equality, diversity and inclusion policies and procedures, and subject to compliance with any legislative or regulatory requirements.
- We will respect the principle of freedom of speech for all our students, members of the Student Guild, staff, external speakers, directors and shareholders, subject to compliance with our equality, diversity and inclusion policies and procedures, and subject to compliance with any legislative or regulatory requirements.

## Ethical principles

Our seven ethical principles are as follows:

### 1.1 Selflessness

- Act in the interest of others.

All members of our academic community should put the interests of others before their own.
--

### 1.2 Integrity

- Be honest and truthful.
- Act in accordance with all legal requirements.
- Act in accordance with our regulations, policies and procedures.
- Declare interests and properly manage any conflicts.
- Be open and transparent in decision-making.
- Maintain independence when engaging with our academic partners, other external stakeholders, and any other outside parties.

All members of our academic community should behave honestly, and should communicate truthfully and openly with each other and outside parties.

No one should misrepresent their position or authority.

All members of our academic community should act in accordance with the law, and our regulations, policies and procedures and those of our academic partners.

No member of our academic community should offer or accept bribes (e.g. money, gifts or hospitality that is disproportionate to the relevant circumstances) either on a personal basis or on behalf of Bloomsbury Institute.

No member of our academic community should accept a gift in connection with their role if it could be intended, or might appear to others to be intended, to influence them to behave improperly.

All members of our academic community should declare outside interests relevant to their activities at Bloomsbury Institute and should take steps to manage or eliminate any potential conflicts that may arise.

No one should be involved in making decisions from which they, or anyone with whom they have a close financial or personal relationship, stand to benefit.

### 1.3 Responsibility and accountability

- Ensure compliance with our ethical principles.
- Raise concerns relating to ethical matters as they arise.

Those in leadership and management positions have a specific responsibility to set an example in their conduct and to promote and support good ethical behaviour.

All members of our academic community have a responsibility for complying with our ethical principles.

Any ethical concerns that cannot be resolved through our existing policies and procedures (e.g. the Staff Grievance Procedures; Staff Disciplinary and Performance Procedures; Student Complaints Policy and Procedures; Student Disciplinary Policy and Procedures) may be resolved through the Whistleblowing Procedure (see **Section 4** below).

### 1.4 Academic freedom and freedom of speech

- Respect the principle of academic freedom and the freedom of speech (as set out in Regulation 3 of our Articles of Association), subject to compliance with our equality, diversity and inclusion policies and procedures, and subject to compliance with any legislative or regulatory requirements.

All members of our academic community should recognise the right of others to academic freedom and the freedom of speech within the law. This does not absolve anyone of the responsibility for treating others with dignity and respect.

### 1.5 Dignity and respect

- Treat all people with dignity and respect and ensure that nobody is treated less favourably because of a protected characteristic, or because of their social or economic background, or for any other reason.

All members of our academic community should treat each other with dignity and respect, whether on or off our premises.

All members of our academic community should work to promote and achieve a culture free of discrimination.

## 1.6 Collegiality

- Uphold an inclusive and participatory work and social environment in which we encourage, support and behave appropriately to one another.

All members of our academic community should seek to be a good citizen and work in the best interests of our academic community as a whole.

All members of our academic community should support (and, where applicable, participate in) democratic consultation through our deliberative committee structures.

All members of our academic community should meet the highest standards of good personal and professional conduct.

## 1.7 Sustainability

- Minimise any negative impact we may have on the environment by effectively managing our resources.

All members of our academic community should be mindful of the impact that their actions or inactions may have on the environment and seek to minimise any negative impact.

## Application of the ethical principles

It is impossible to devise a single set of rules and procedures that cover every ethical dilemma. Rather, the seven ethical principles should guide the exercise of judgement in each individual case.

These ethical principles are to be applied throughout our academic community, whatever the nature of the activity (e.g. when making a decision) or interaction (e.g. a student interacting with fellow students).

If anyone has a concern that a member of our academic community is not observing this Policy, it should first of all be discussed with the individual.

If this does not resolve the issue, it should then be discussed with a relevant person in authority, for example:

- if the concern relates to a member of staff, it should be discussed with the individual's line manager;
- if the concern relates to a student, it should be discussed with the individual's Course Leader;
- if the concern relates to an executive director, it should be discussed with a non-executive director;
- if the concern relates to a non-executive director, it should be discussed with an executive director;
- if the concern relates to an external member of one of our committees, it should be discussed with the Chair of the committee.

If this does not resolve the issue, we have various policies and procedures through which formal action may be taken, where appropriate, for example:

- Staff Grievance Procedures
- Staff Disciplinary and Performance Procedures
- Student Complaints Policy and Procedures
- Student Disciplinary Policy and Procedures

With regard to directors, Regulation 51(h) of our Articles of Association provides the ultimate power to dismiss a director, by a majority decision of the directors. The Whistleblowing Procedure could be used by a member of our academic community to formally raise a concern (see **Section 4** below).

With regard to external members who are represented on our committees, there is a contractual right to dismiss prior to the end of the term. The Whistleblowing Procedure could be used by a member of our academic community to formally raise a concern (see **Section 4** below).

## Whistleblowing Procedure

The Whistleblowing Procedure is designed to enable any member of our academic community to disclose information, in good faith, which relates to genuine concerns of suspected serious wrongdoing by a member of staff or a director, or dangers relating to the running of Bloomsbury Institute, without fear of reprisal, even if such concerns turn out to be mistaken (provided the information was disclosed in good faith and the concerns were genuine).

A suspected serious wrongdoing by a member of staff or a director, or a suspected danger relating to the running of Bloomsbury Institute, includes the following:

- A criminal offence (to include fraud, corruption, bribery or blackmail) has been, is being or is likely to be committed
- A breach of a legal obligation has been, is being or is likely to be committed
- A miscarriage of justice has occurred, is occurring or is likely to occur
- The health and safety of an individual has been, is being or is likely to be endangered
- The environment has been, is being or is likely to be damaged
- A serious breach of our regulations, policies or procedures (including the Corporate and Academic Governance Framework, and the Financial Regulations) has been, is being or is likely to be committed
- Obstruction or frustration of the exercise of academic freedom or freedom of speech as set out in Regulation 3 of our Articles of Association
- Serious breach of the ethical principles set out in our Ethics Policy
- Unauthorised disclosure of confidential information
- Information tending to show any of the above matters has been, is being or is likely to be deliberately concealed

A whistleblower is a person who raises a genuine serious concern in good faith relating to any of the above matters. The whistleblower may or may not be directly affected by the matter.

All members of staff are protected under the Public Interest Disclosure Act 1998.

## **1.8 Raising a concern**

A concern should be raised as follows:

- if the concern relates to a member of staff, it should be raised with the individual's line manager;
- if the concern relates to an executive director, it should be raised with a non-executive director;
- if the concern relates to a non-executive director, it should be raised with an executive director.

The person to whom the concern is raised will determine whether it falls within the remit of the Procedure.

If the concern does not fall within the remit of the Procedure, the concern will be dismissed.

The whistleblower will have a right of appeal to the Board of Directors whose decision on this point shall be final.

## **1.9 Investigation**

If the concern comes within the remit of the Procedure, the Managing Director (or nominee) will appoint an Investigating Officer. If the concern relates to the Managing Director, a non-executive director will appoint an Investigating Officer.

If a person to whom the concern relates is a member of staff, the Investigating Officer will not be that person's line manager.

The Investigating Officer will normally interview any person to whom the concern relates and any other relevant persons, including the person who has raised the concern.

If a person to whom the concern relates is interviewed by the Investigating Officer, that person will have the right to be represented or accompanied by a representative, provided such person is not acting as a legal representative.

At the end of the investigation, the Investigating Officer will present a written report to the Managing Director (or to the non-executive director if the concern relates to the Managing Director). The report will set out the Investigating Officer's findings and recommendations.

## **1.10 Decision**

### **1.10.1 Concern relates to a Director**

If the concern relates to a Director, the matter will be referred to the Board of Directors. The Board could decide to reprimand the Director or, ultimately, to terminate the Director's term of office (for a non-executive director) or employment (if an executive director).

### **1.10.2 Concern relate to a member of staff**

If the concern relates to a member of staff (excluding executive Directors), the Managing Director (or nominee) will make a final decision on the basis of the Investigating Officer's written report.

The Managing Director (or nominee) could decide to instigate action against the member of staff under the Staff Disciplinary and Performance Procedures.

At the conclusion of the proceedings, the Managing Director (or nominee) will present a confidential report to the Board of Directors setting out the concern, the findings and recommendations of the Investigating Officer, and the outcome.

### **1.10.3 Information provided to the person raising the concern**

The Board of Directors will determine what information, if any, should be provided to the person raising the concern.

## **1.11 Confidentiality and anonymity**

A concern that is raised anonymously will not be dealt with.

The investigation will be dealt with on a confidential basis.

A request by a whistleblower to remain anonymous during the investigation will be respected, unless the Investigating Officer determines that disclosure is critical to the investigation.

## **1.12 Protection for whistleblowers**

No detriment will be suffered by any whistleblower who takes action under this Procedure, provided any information was disclosed in good faith and any concerns were genuine, even if such concerns turn out to be mistaken.

In addition, all members of staff are protected under the Public Interest Disclosure Act 1998.

## **Related regulations, policies and procedures**

- Dignity and Respect at Work Procedure
- Email Acceptable Use Policy
- Equality, Diversity and Inclusion Policy
- Internet Acceptable Use Policy
- Prevent Policy
- Research Ethics Code of Practice
- Research Ethics: Participant Consent Form
- Research Development Plan
- Research Strategy
- Staff Disciplinary and Performance Procedures
- Staff Grievance Procedures
- Strategic Framework
- Student Complaints Policy and Procedures
- Student Disciplinary Policy and Procedures

## Review

The Ethics Policy will be reviewed annually by our Senior Management and Leadership Team (SMLT). Any amendments require the approval of our Board of Directors.