

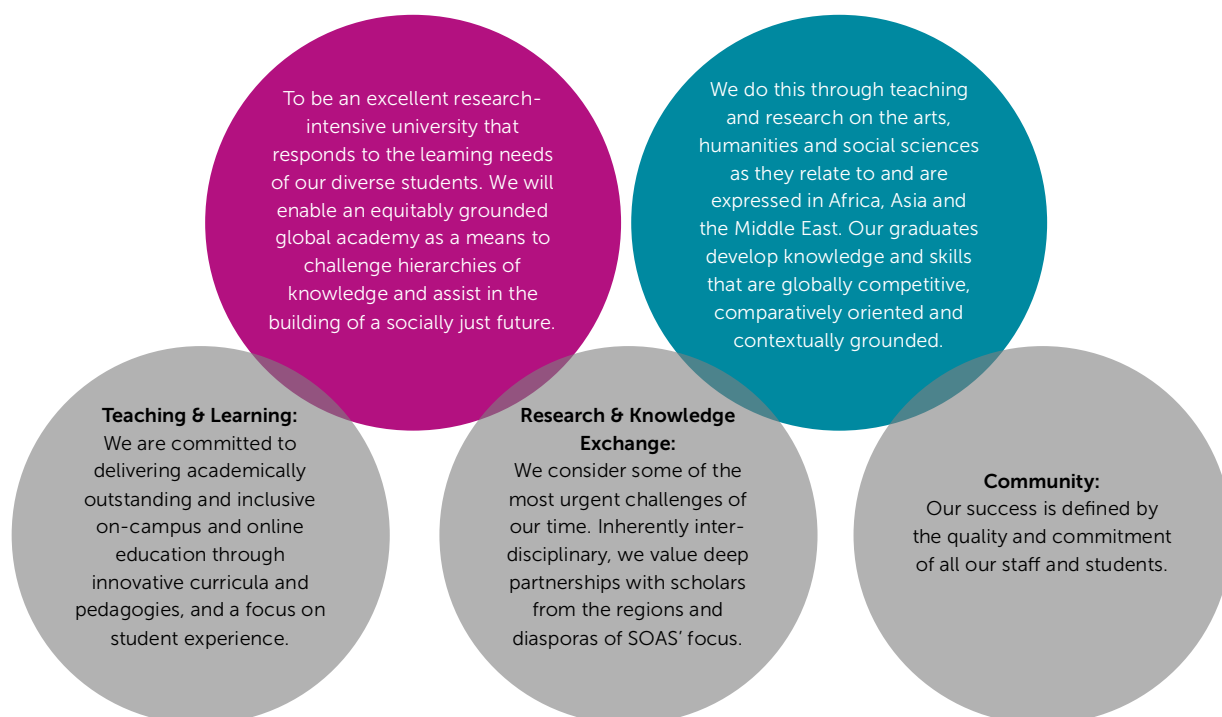
1. Introduction

- 1.1. SOAS prides itself on being an ethical university and one of its Core Values is Ethical Standards. The placement of Ethical Standards as a cornerstone of the University's values system is vital to ensuring the continuing success and sustainability of the institution. The Ethics Framework creates a cohesive, values-based structure that guides decision making across all activities within the institution.
- 1.2. All aspects of University's activities have the potential to raise ethical concerns. The SOAS Ethics Framework has been developed to guide individuals who need to exercise judgement when faced with a situation that has ethical implications. It lists the policies and procedures that will help individuals make decisions. The ethical framework sits alongside the need to comply with statutory and regulatory requirements.
- 1.3. Governing bodies are entrusted with funds, both public and private, and therefore have a particular duty to observe the highest standards of corporate governance. SOAS Board of Trustees are required to protect the institutional reputation by being assured that clear regulations, policies and procedures that adhere to legislative and regulatory requirements are in place, ethical in nature, and followed.
- 1.4. SOAS is committed to highest standards of professional conduct, as determined by Board of Trustee members are expected to abide by the Nolan Principles:
 - Selflessness
 - Integrity
 - Objectivity
 - Accountability
 - Openness
 - Honesty
 - Leadership
- 1.5. The Board of Trustees is responsible for the approval of this framework and it is expected that the Framework will be promoted and embedded using the University's appropriate committee and management structures. This Framework will commence on approval by Board of Trustees and will remain in force until it is revised or replaced.

2. Scope

- 2.1. This Framework applies to all aspects of University work and all activities undertaken under the University's auspices, including research, teaching, consultancy and outreach work, knowledge exchange, and including work done in collaboration with other partners.
- 2.2. The Framework applies to all Board Members, staff, students, visiting students, visiting or emeritus staff, associates, honorary or clinical contract holders, academic partners, contractors and consultants. All those involved in carrying out the University's business are responsible for adhering to the principles outlined in this Framework.
- 2.3. The University recognises a distinction between ethical and legal requirements, but in many cases it is strict adherence to the law or to regulatory requirements that is the ethical commitment. All members of the University are expected to understand the legal and regulatory expectations relevant to their activities and to comply fully with the law in conducting University business.

3. About SOAS

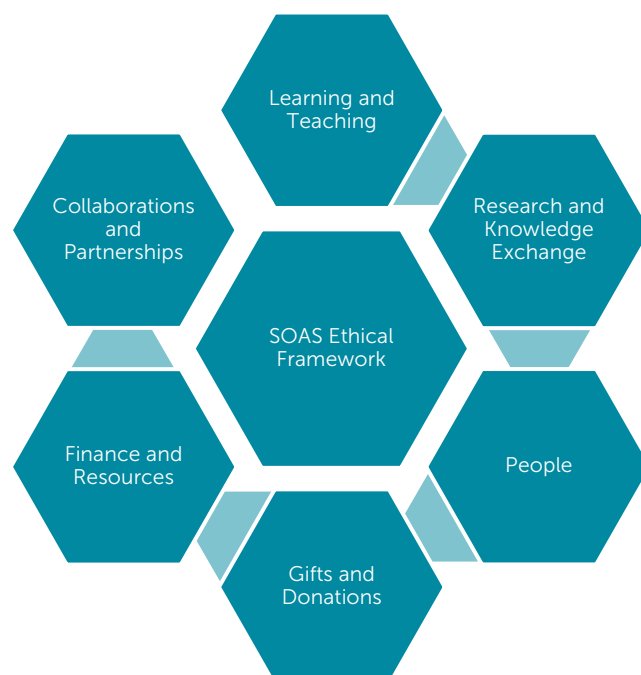


4. SOAS Core Values and Ethical Principles

- 4.1. SOAS Core Values are promoted and celebrated, and underpin all the University's activities. SOAS Core Values help guide staff and students in their work and studies and by so doing help the institution achieve its vision and the aims of its strategy.
- 4.2. One Core Value relates specifically to Ethical Standards: SOAS will maintain the highest ethical standards in all of its dealings and will be open, honest, tolerant, fair and responsible in everything it does. However, all of the values have a resonance and relevance for staff and students for acting ethically. SOAS Core Values are:
- Excellence
 - Equality and diversity
 - Freedom of speech and tolerance
 - Cultural understanding
 - Ethical standards
 - Community
 - Evaluate and self-reflect
 - Transparent and accountable
 - Environment
- 4.3. SOAS Core Values are embedded into SOAS Ethical Framework and should be observed when making decisions that have ethical implications. Links to the SOAS Core Values and the SOAS Strategy can be found on the SOAS website.

5. Elements of the Ethical Framework

SOAS Ethical Framework is made up of six elements:



6. Overview of Elements of the Framework

Outlined below is a brief description of each element and a non-exhaustive list that covers the most relevant policies and procedures related to that element.

6.1. Learning and Teaching

Policies around learning and teaching which could be relevant when considering a matter that raises ethical concerns:

- Admission Policies
- Academic Misconduct
- Academic Standards
- Guidelines for the recruitment of students with a criminal conviction
- Lecture Capture policy
- Student Complaint and Disciplinary procedures
- Student Charter
- SOAS AI Principals

6.2. Research and Knowledge Exchange

SOAS has a range of policies around research grants & research ethics to help ensure that the University operates to the highest ethical standards when engaging in research activity. These are:

- SOAS Research Ethics Policy
- Intellectual Property Policy
- Open Access Policy
- External Professional Activities Policy
- Research and Knowledge Exchange Due Diligence Policy and Procedure
- Procedure for the Ethical Review of Research Projects for Staff and PGR Student
- Using Personal Data in Research: Code of Practice for SOAS Staff and Student
- Policy for the Investigation of Allegations of Research Misconduct Complaints about Research Misconduct procedure

6.3. People

The University's relationships with its students, staff and external stakeholders are a fundamental basis of its business.

- Code of Practice on Freedom of Speech
- Human Resources e.g. recruitment
- Equality and Diversity
- Honorary Appointments
- Personal Relationships
- Data protection / information governance policies
- Freedom of information
- Whistleblowing
- CCTV
- Harassment and Bullying - Respect at SOAS

- Staff Complaints and disciplinary procedures

6.4. Finance & Resources

Financial activity is covered by a number of arrangements that ensure the University conducts itself ethically when undertaking activity in the financial sphere.

- Register of Interests
- Anti Fraud, Bribery and Corruption Policy
- Procurement
- Responsible Investment Policy

6.5. Collaborations and Partnerships

- 6.5.1. In its dealings with collaborations both at home and overseas be they institutional collaborations, teaching, research or exchange, SOAS has an approval and due diligence process that take into account ethical consideration. The University should aspire to ensure that those we collaborate with live up to the same ethical standards as SOAS and the University should consider the view of SOAS staff and students:

- Academic and Research Partnerships Framework
- SOAS Risk Management Policy, particularly relating to assessment of high risk countries and partnerships within high risk countries

- 6.5.2. There is a process to review any partnerships with countries which are deemed high-risk, or where there is heightened risk given a track record of human rights violations; heightened political tensions; a lack of academic freedom, or any other concern that may constitute a significant challenge for institution-level engagements. This is set out in the SOAS Risk Management Policy. Given their size, strategic importance, and/or the fact that they are undergoing reform, it will be important to understand the challenges and undertake a risk analysis on a case-by-case basis. These reviews will be carried out by the Executive Board and approved by the Audit and Risk Committee on behalf of the Board of Trustees

6.6. Philanthropic Gifts & Donations

SOAS has a Due Diligence procedure for the receipt of philanthropic donations and gifts and a Gift Acceptance Record which forms part of the Due Diligence Procedure

- Due Diligence Procedure and Ethical Guidelines for Philanthropic Gifts

7. Application of the Framework

- 7.1. The previous section highlights the key elements that support this framework and each of these policies or procedures will identify a senior owner who can be contacted about its application. Staff should seek advice from this person wherever possible before making any relevant decisions. For those situations not covered by a specific policy then advice can be sought from the Director of Governance. The

ultimate decision-maker on ethical matters will be the Vice-Chancellor unless otherwise outlined in the relevant policy. Decisions will be made on a case-by-case basis.

7.2. In furtherance of these principles, particular areas that should be considered for additional scrutiny when undertaking due diligence are:

- Alcohol manufacture/sale
- Armament manufacture/ sale
- Child labour
- Dual use research
- Environmental abuses
- Fossil fuels
- Gambling
- Human rights abuses
- Immigration detention and prison abuses
- Labour rights abuses and trade union blacklisting
- Pornography manufacture/sale
- Tobacco manufacture/sale
- Other significant ethical or corporate governance controversies

7.3. All members of the University bear a responsibility to follow the Ethical Framework and where issues are not explicitly expressed in the Framework, members should use it as a guide along with the SOAS Core Values.

7.4. When faced with a matter that raises ethical concerns trustees, staff or students should see if there is a relevant policy but also ask themselves the following questions and keep a record of your decision making and the rationale behind it.:

- Is it the right thing to do?
- Is it within the law?
- Is it fair and equitable?
- What are the implications involved?
- Are their particular interests involved?
- Who benefits from it?
- Is it in accordance with the SOAS Core Values?
- How would this be perceived by the public?

8. Version Control

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| <i>Note: All policies must be read in conjunction with all other SOAS policy, procedure and guidance documents. Printed copies of policies may not be the most up to date, therefore please refer to the policy pages on the SOAS external website or intranet for the latest version.</i> | | | |