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# CODE OF ETHICS POLICY

**w.e.f MAY 2018**

# CODE OF ETHICAL PRACTICE FOR RESEARCH

## 1. INTRODUCTION

The University of Petroleum and Energy Studies (UPES) is committed to ensure highest level of integrity by all researchers associated with UPES and in accordance with current legislation and policy requirements. The purpose of these policies is to protect the dignity, rights, safety and well-being of research participants; the safety and reputation of researchers; the reputation of the University; to ensure research carried out in connection with the University is lawful; to manage and mitigate the risks arising from research; and to ensure ethical awareness is embedded across all faculties and schools. The policy sets out the required standards of researcher integrity and requirements for ethical review of research projects that must be complied with for all projects undertaken by researchers of the UPES.

## 2 DEFINITIONS

For the purposes of this policy, research is defined as "the systematic investigation into and study of materials and sources in order to establish facts and reach new conclusions". The policy covers all research involving human participants, their tissues or data, but it should also be applied more broadly, to activities such as enterprise and innovation or service evaluation and audit where there are material ethical issues. These policies applies to all studies carried out in connection with UPES, by staff and students. For studies where external ethical approval has been secured, there is no need to duplicate this process. The relevant University Ethics Committee should be notified of the approval, and provided with a copy of the approval. The Ethical Committee should ensure that no further approval is required for the study.

## 3 SCOPE

This Code of Ethical Conduct applies to all researchers associated with UPES. It is not intended to replace, and may be supplemented by, specific University policies that have been adopted in the past and that may be adopted in the future. This Code may be amended or supplemented from time to time by the Institutional Research Ethics Board of UPES.

## 4 PROCESS

Researcher associated with UPES should approach the Ethics Committee for approval. The ethical review process should ensure compliance with the following policy documents of UPES.

i. Policy for Promotion of Research
ii. Plagiarism Policy
iii. Patent Policy
iv. Consultancy Policy

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# Regulations for Ethical Conduct in Human Research/Non-Human and Related Activities – Application for Approval

**Name:** **SAP ID:**

**School:** **Department:**

**Email ID:** **Phone number:**

**Mailing address:**

This is an application for approval of (please tick as many as apply):

- ❑ Research project involving human/non-human participants
- ❑ Course/Paper which involves student projects that collect data from human/non-human participants
- ❑ Undergraduate student project which involves data collection from human/non-human participants
- ❑ Master's degree research
- ❑ PhD research
- ❑ PhD research proposal to move from Conditional to Full enrolment

**Name of the Supervisor (if applicable)** **Approval of the Supervisor (signature)**

**Project Title:**

Is this research associated with an external grant or funding? ☐ Yes ☐ No

If yes, Please specify:

- ❑ I request approval for this research or related activities and I have attached all relevant documentation necessary for evaluation under the Ethical Conduct in human/non-human Research and Related Activities Regulations.
- ❑ I have read and complied with the Ethical Conduct in human/non-human research and Related Activities Regulations.

**Signature of the Principal Investigation**

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# Regulations for Ethical Conduct in Human Research/Non-Human and Related Activities – Application for Approval

**Ethics Committee Action**

Should this application be referred to Ethics Committee of another university?

☐ Yes ☐ No

If yes, please provide details:

Does this application require approval from an external authority/body?

☐ Yes ☐ No

If yes, please provide details:

- ☐ Approved — **Signature of the Convener**
- ☐ Approved with recommendations
- ☐ Request modifications — **Signature of the Reviewer**
- ☐ Approved with modifications — **Signature of the Reviewer**
- ☐ Forward to University committee — **Date:**
- ☐ Copy of approval letter to UNILink for research associated with external grants and contracts

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# Outline of Research or Related Activity – Application for Approval

## 1. Identify the project

1.1 Title of the Project:

1.2 Name and contact information of Researcher(s):

1.3 Name and contact information of Supervisor (if relevant):

1.4 Anticipated date to begin data collection:

1.5 Does your application involve issues of health or disability with human/non-human participants? If so, please refer to the guidelines as to whether your application needs to be submitted to Ethics Committee.

## 2. Describe the research or related activity

2.1 Briefly outline what the project is about, including your goals and anticipated benefits? Include links with a research programme, if relevant.

2.2 Briefly outline your methods.

2.3 Describe plans to give participants information about the goals of the research or related activity.

2.4 Identify the expected outputs of this research or related activity (e.g., reports, publications, presentations).

2.5 Identify who is likely to see or hear reports or presentations arising from this research or related activity?

2.6 Identify the physical location(s) for the research or related activity, the group or community to which your potential participants belong, and any private data or documents you will seek to access. Describe how you have access to the site, participants and data/documents. Identify how you obtain(ed) permission from relevant authorities/gatekeepers if appropriate and any conditions associated with access?

## 3. Obtain participants' informed consent without coercion

3.1 Describe how you will select participants (e.g., special criteria or characteristics) and how many will be involved?

3.2 State clearly whether this is an application under section 10 of the Ethical Conduct in Human/non-human Research and Related Activities Regulations: Large Random Sample Survey?

3.3 Describe how you will invite them to participate?

3.4 Show how you provide prospective participants with all information relevant to their decision to participate? Attach your participant information sheet, cover letter, or introduction script. See document on informed consent for recommended content. Information should include, but is not limited to:

- What you will ask them to do?
- Can the participant refuse to answer any particular question, or withdraw any information they have provided at any time before completion of data collection?
- How and when to ask any further questions about the study or get more information?
- The form in which the findings will be disseminated and how participants can access a summary of the findings from the study when it is concluded?

3.5 Describe how you get their consent (Attach a consent form if you use one)?

3.6 Explain incentives and/or compulsion for participants to be involved in this study, including monetary payment, prizes, goods, services, or favours, either directly or indirectly.

**4. Minimise deception**

If your research or related activity involves deception – this includes incomplete information to participants -- explain the rationale. Describe how and when you will provide full information or reveal the complete truth about the research or related activity including reasons for the deception?

**5. Respect privacy and confidentiality**

5.1 Explain how any publications and/or reports will have the participants' consent?

5.2 Explain how you will protect participants' identities (or why you will not)?

5.3 Describe who will have access to the information/data collected from participants. Explain how you will protect or secure confidential information?

**6. Minimise harm to participants**

'Harm' includes pain, stress, emotional distress, fatigue, embarrassment and exploitation.

6.1 Where participants risk change from participating in this research or related activity compared to their daily lives, identify that risk and explain how your procedures minimize the consequences?

6.2 Describe any way you are associated with participants that might influence the ethical appropriateness of you conducting this research or related activity – either favourably (e.g., same language or culture) or unfavourably (e.g., dependent relationships such as employer/employee, supervisor/worker, lecturer/student). As appropriate, describe the steps you will take to protect the participants.

6.3 Describe any possible conflicts of interest and explain how you will protect participants' interests and maintain your objectivity?

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# Institutional Research Ethics Board

There shall be Institutional Research Ethics Board to ensure that the research activity carried out by the participant(s) is fully complaint with the regulations of the university regarding research ethics and the protection of human/non-human subjects in research.

The board shall comprise of the following members

(i) Chancellor
(ii) Vice Chancellor
(iii) Dean ( Academic/ Innovation )
(iv) Director of the school of the applicant
(v) Head – R&D

# Participant Information Sheet

**Project Title**
*Title of project as per outline document*

**Purpose**
This research *or related activity* is conducted as partial requirement for *name of the degree/diploma etc.* This project requires the researcher to choose a topic and conduct research on the topic through using surveys or interviews or a combination of the two techniques.

**What is this research project about?**
*Describe the research project e.g.. 'This research is to investigate……'*

**What will you have to do and how long will it take?**
In most cases, the researcher will want to either interview you or have you complete a survey questionnaire (or, in some cases, both). This should take no longer than *name a time e.g.. 30 minutes*. The researcher may ask for relevant documents or sources accessible for this research. The interview may be recorded. You will be asked to give consent prior to the interview, and maybe asked to also give consent at a later stage.

**What will happen to the information collected?**
The information collected will be used by the researcher to write a research report for the credit of a specific paper. It is possible that articles and presentations may be the outcome of the research. Only the researcher *and supervisor (if applicable)* will be privy to the notes, documents, recordings and the paper written. Afterwards, notes, documents will be destroyed and recordings erased. The researcher will keep transcriptions of the recordings and a copy of the paper but will treat them with the strictest confidentiality. No participants will be named in the publications and every effort will be made to disguise their identity.

**Declaration to participants**
If you take part in the study, you have the right to:

- Refuse to answer any particular question, and to withdraw from the study before ….. / analysis has commenced on the data.
- Ask any further questions about the study that occurs to you during your participation.
- Be given access to a summary of findings from the study when it is concluded.

**Who's responsible?**
If you have any questions or concerns about the project, either now or in the future, please feel free to contact either

**Researcher:**
***Name and contact details***

**Supervisor:( If applicable)**
***Name and contact details***

# Consent Form for Participants

*(Insert title of project)*

## Consent Form for Participants

I have read the **Participant Information Sheet** for this study and have had the details of the study explained to me. My questions about the study have been answered to my satisfaction, and I understand that I may ask further questions at any time.

I also understand that I am free to withdraw from the study before…, or to decline to answer any particular questions in the study. I understand I can withdraw any information I have provided up until the researcher has commenced analysis on my data. I agree to provide information to the researchers under the conditions of confidentiality set out on the **Participant Information Sheet**.

I agree to participate in this study under the conditions set out in the **Participant Information Sheet**.

**Signature:**

**Name:**

**Date:**

## Additional Consent as Required

Examples:

I agree / do not agree to my responses to be tape recorded.

I agree / do not agree to my images being used

**Signature:**

**Name:**

**Date:**

**Name and contact information of Researcher(s):**

**Name and contact information of Supervisor (if applicable):**

**7. Exercise social and cultural sensitivity**

7.1 Identify any areas in your research or related activity that are potentially sensitive, especially from participants' perspectives. Explain what you do to ensure your research or related activity procedures are sensitive (unlikely to be insensitive)? Demonstrate familiarity with the culture as appropriate.

7.2 If the participants as a group differ from the researcher in ways relevant to the research or related activity, describe your procedures to ensure the research or related activity is culturally safe and non offensive for the participants.

**Approved By:**

Dr. Jitendra Kumar Pandey
Associate Dean- Research & Development

Dr. Kamal Bansal
Dean- Academic Dev.& Planning

Ms. Deepa Verma
Registrar

Dr. Deependra Kumar Jha
Vice Chancellor