

Code of Ethics

(Teaching Partnerships, Research and Research Partnerships, Student Recruitment, Accepting Donations)

Questions for Professional Services Directors and Head of Department in respect of new activity and/or where there has been a change in circumstances or new information becomes known in areas of policy and process listed in the University Code of Ethics (e.g. Student Recruitment, Teaching and Research Partnerships, Fundraising and Accepting Donations)

The guiding principles expressed in the Code of Ethics should serve as an institutional reference point and Heads of Department should discuss the questions with the relevant lead Professional Service(s) to inform their decision.

These questions are designed to aid Heads of Department in considering the ethical and reputational risks associated with activities undertaken in their Department and should be completed in conjunction with a relevant Professional Services Director as appropriate to the specific activity under consideration.

Questions	Answers: Yes/No and/or commentary, as appropriate.
<p>Q1</p> <p><i>In making decisions about University activity in the context of the Code of Ethics, it is important that the consideration pathways associated with our primary purpose and commercial activities are properly understood. Those activities deemed as 'commercial' are more likely to be viewed as 'investment' decisions and have different implications under law. Should the answer to the following question be 'no', please seek advice from your nominated Professional Services Director (see below) or the Department of Finance.</i></p> <p>Is the purpose of the proposed activity/action for all parties involved the advancement of education through research and teaching to deliver public benefit?</p> <p>More information can be found http://www.charitycommission.gov.uk/detailed-guidance/charitable-purposes-and-public-benefit/guidance-on-charitable-purposes</p>	
<p>Q2</p> <p>Does the proposed activity/donation create conflicts of interest or place obligations on the University that run contrary to:</p> <ul style="list-style-type: none"> • the University's Charitable status; • the Code's <i>Guiding Principles</i>; or • the terms and conditions of funding bodies. <p>Further information about Conflicts of Interest is shown in paragraph 25 of the University's Financial Regulations and the University Policy Statement on Conflicts of Interest.</p>	

Q3	On consideration of the benefits and disadvantages of the proposed activity, would proceeding create reputational risk that could significantly impact upon the University?	
	<i>Should you require assistance with the questions below, please contact the relevant Professional Services Director.</i>	
Q4	<p>Are there any issues that might cause concern in respect of the following:</p> <ul style="list-style-type: none"> · Links to other countries or governments or representatives thereof, whose reputations might damage that of the University · Links to other countries or governments or representatives thereof who appear on the list of United Nations or European Union Sanctioned or Embargoed Countries. · Ethical codes of practice, e.g., activity that flouts accepted government or industry ethical codes of practice · Proposed activities which are contrary to the Office for Students' Public Interest Governance Principles: https://www.officeforstudents.org.uk/advice-and-guidance/regulation/public-interest-governance-principles/ · Proposed activity that would be a 'reportable event' as defined by the OfS, (see p128: https://www.officeforstudents.org.uk/media/1406/ofs2018_01.pdf) or 'material adverse events' (previously defined by HEFCE as 'serious incidents') · Proposed activities which run contrary to our Social Responsibility and Sustainability agenda https://www.sheffield.ac.uk/about/sustainability · Violations of human rights · Existing or potential media coverage <p><i>Guidance may be sought from UK Govt Foreign and Commonwealth Office: UK Trade and Industry: Overseas Business Risk/Political and Economic Updates</i></p> <ul style="list-style-type: none"> · https://www.gov.uk/government/collections/overseas-business-risk 	

<p>Q5</p>	<p>Does the external party have any current known links with the University, e.g., students, family, other funding, senior positions within or aligned with the University, e.g., Council member?</p> <p><i>Any pre-existing links between anyone at the University and any representative of the organisations concerned should be declared. Any gifts or hospitality given or received from these organisations should be clearly documented. This is particularly important where the funding of student fees is concerned. In this regard it will be important for academic departments to declare whether or not they are aware of any family or other relationship between the student, any representative of the funding organisation and any member of staff at the University.</i></p>	
<p>Q6</p>	<p>If the activity is contractual or otherwise involved a financial transaction, have financial checks been undertaken, including credit checks. If so, do they represent any risks or potential issues? (see Paragraph 9.8 of the Financial Regulations)</p>	
<p>Q7</p>	<p>What is the identity of the individual/organisation providing the funding and/or proposing the relationship? Does their identity present any actual or potential reputational issues?</p>	
<p>Q8</p>	<p>Have references been taken up, e.g. from the proposed counter-parties or partners? If so, do they represent any issues or risks, e.g. reputational, financial?</p> <p>Existing institutional knowledge: Does your department or any other department or Professional Service that you know of have any existing connection with the proposed partner?</p>	

<p>Q9</p>	<p>Does the organisation have publicly available policies about Bribery?</p> <p>What advice have you sought from the Finance Department or HR regarding potential conflicts, for example under the 'Proceeds of Crime Act', the 'Bribery Act', Criminal Finances Act and other anti-terrorism finance legislation?</p> <p>For further information and assistance contact:</p> <p>Helen Dingle, Chief Financial Officer, or Andrew Cattermole, Management Accountant.</p> <p>Have any actual or potential issues been identified?</p> <p>Note: It is important that we understand the legal status of the organisations concerned and whether it is clear (from their websites or other official published material) how they are funded and what they list as their primary purpose. This should help in providing assurance whether or not there is any risk of the funds we receive being generated from acts of crime, terrorism or money laundering (as well as helping to address the question of charitable of purposes at question 1). The acid test is to be clear on the full name and address to which our invoice will be sent. Any request to send an invoice "care of" or via a Third Party should be rejected as this then removes the transparency we need.</p>	
<p>Q10</p>	<p>In respect of overseas partnerships for the purposes of student education, are there any factors within the overseas country which would represent risk to the security of staff and students?</p> <p>https://www.gov.uk/foreign-travel-advice</p> <p>If the partnership will involve University staff working in the overseas country, advice on the financial implications of this must be sought from the Tax Team in the Finance Department before any arrangements are confirmed.</p>	

Recommended course of action following discussion with relevant Professional Services Director:

1. Recommend that the University should proceed *without* the need for a prepared Corporate Communications statement
2. Recommend that the University should proceed *with* the requirement for a prepared Corporate Communications statement
3. Recommend that the University should not proceed. If so please advise the University Secretary's Office (contact details) for recording and monitoring purposes.

Recommended course of action:

Name of Head of Academic Department:

Name of Professional Services Director owner.....

Date: