



## Summary of CASP policies promoting a safe and fair research and innovation environment.

### Anti-Fraud, Corruption and Bribery

CASP complies with all of its statutory obligations contained in the Bribery Act 2010 and will not tolerate bribery. Bribery refers to the act of offering, giving, promising, asking, agreeing, receiving, accepting, or soliciting something of value or of an advantage so to induce or influence an action or decision. Each employee and director of CASP is responsible for their own actions and they should be aware that it is illegal to offer, promise, give, request, agree, receive or accept bribes. This can include gifts and hospitality, facilitation payments, political and charity contributions. CASP conducts business honestly, openly and fairly and does not seek to win any business through any form of inducement.

### Modern Slavery

This policy supports CASP's code of ethics to ensure all our research and business activities meet our moral and legal obligations in accordance with the Modern-Day Slavery & Trafficking Act 2015. CASP has a zero-tolerance approach to modern slavery and we are committed to acting ethically and with integrity in all our business dealings and relationships and to implementing and enforcing effective systems and controls to ensure modern slavery is not taking place anywhere in our own business or in any of our supply chains. We expect the same high standards from all of our contractors, suppliers and other business partners and will abide by our responsibility to ensure that those we deal with exercise prohibitions against the use of forced, compulsory or trafficked labour, or anyone held in slavery or servitude, whether adults or children, and we expect that our suppliers will hold their own suppliers to the same high standards.

The prevention, detection and reporting of modern slavery in any part of our business or supply chains is the responsibility of all those working for us or under our control. Employees are required to avoid any activity that might lead to, or suggest, a breach of this policy. We aim to encourage openness and will support anyone who raises genuine concerns in good faith under this policy.

### Conflict of Interest

All trustees, employees and volunteers of CASP will avoid any conflict of interest between the interests of CASP, and the personal, professional, and business interests of the individual.

Any activity that an employee undertakes or consider undertaking that could cause a potential conflict of interest, must be discussed with the Managing Director or a Director at the earliest opportunity. Members of the Management Group and Directors should identify and address any potential conflict of interests of their direct reports.

CASP will seek to resolve any potential conflict of interest fairly and individuals will be informed whether they are able to undertake a particular activity or not.

### Equal Opportunities Policy

Equality in the workplace means equal job opportunities and fairness for employees and job applicants. Equality of opportunity is central to CASP's beliefs and values. We seek at all times to

ensure that our employees and potential employees are given equal opportunity based solely on their ability. We are committed to giving equal opportunities to all employees and prospective employees irrespective of their gender, gender re-assignment, sexual orientation, marital status, race, ethnic origin, colour, nationality, disability, religion or belief, trade union membership or age.

We actively encourage all our employees to achieve their full potential and we will do our best to support them in their ambition. We take all reasonable steps to ensure that employees are employed and promoted within CASP on the basis of their abilities and qualifications. All employees have a responsibility to ensure that they work in accordance with this Equal Opportunity Policy.

## Harassment and Bullying

CASP will take all reasonable steps to ensure the workplace is free from harassment and bullying. It is recognised that both are serious offences and could result in an employee's dismissal. Any claims of bullying or harassment will be taken seriously and a thorough and fair investigation will take place in accordance with our Disciplinary Procedure. They will normally be informed of the outcome within 14 days of receipt of the original complaint.

## Protected Disclosures (Whistleblowing)

CASP actively encourages workers/employees to disclose any concerns about wrong-doing within the organisation. 'Whistleblowing' is when a worker provides certain types of information which has come to their attention, usually to the employer or a regulator, to raise a concern about danger or illegality that affects others. The disclosure may be about the alleged wrongful conduct of the employer, a colleague, client, or any third party. Typically, the whistle-blower is not directly, personally affected by the danger or illegality, although they may be.

If an employee has a concern they should immediately report any allegations or concerns about malpractice to the Managing Director in the first instance. If they are uncomfortable discussing this with the Managing Director, they should speak to another member of the Management Group, who will refer the matter to the appropriate person. Any information provided will be treated in the strictest confidence. Provided any concerns are raised in good faith, regardless of whether or not it is ultimately substantiated, no disciplinary action will be taken against them.

CASP undertakes that no employee who makes a bona fide report in accordance with this statement will be subjected to any detriment as a result, in accordance with section 47B of the Employment Right Act 1996. In the event that an employee believes they are being subject to detriment by any person within CASP as a result of their decision to make a 'public interest disclosure' they must inform the Managing Director immediately and appropriate action will be taken.

## Research Integrity

CASP expects all employees, contractors and collaborators to observe the highest standards of ethics and integrity in the conduct of their research. In pursuance of such high standards, they must:

- be honest in proposing, conducting and reporting research.
- acquaint themselves with guidance as to best research practice and standards of integrity; for example, the [Code of Practice for Research](#) published by the UK Research Integrity Office or the [Concordat to Support Research Integrity](#)
- comply with ethical and legal obligations as required by statutory and regulatory authorities, including seeking ethical review and approval for research as appropriate.

- seek to ensure the safety, dignity, well-being and rights of those associated with the research
- follow the requirements and guidance of any professional bodies in their field of research.

Full guidance can be found in CASP's employee handbook.

#### Definition of Misconduct in Research

Misconduct in Research for the purpose of this Code of Practice and Procedure means, but is not limited to, the doing, planning or attempting of any of the following while proposing, carrying out or reporting the results of research:

- falsification or fabrication of data, including the intentionally misleading or deliberately false reporting of research information
- misrepresentation of data, including the invention of data and the omission from analysis and publication of inconvenient data
- failure to follow good practice for the proper preservation, management and sharing of primary data, artefacts and material
- unacknowledged appropriation of the work of others, including plagiarism, the abuse of confidentiality with respect to unpublished materials, or misappropriation of results, physical materials or other resources
- misrepresentation of involvement in a research project; for example, the failure to include legitimate author(s) on outputs, or granting authorship where none is warranted, or of credentials, including qualifications, experience, and publication history
- failure to declare conflicts of interest
- failure to follow accepted procedures, legal, professional or ethical requirements, or to exercise due care in carrying out responsibilities for avoiding unreasonable harm or risk to humans, animals or the environment
- failure to follow existing guidance on good practice in research, including proper handling of privileged, private or confidential information
- improper conduct in peer review of research proposals, results or manuscripts submitted for publication
- improper dealing with allegations of misconduct: failing to address possible infringements, or to adhere to agreed procedures in the investigation of alleged research misconduct accepted as a condition of funding