



UNIVERSITY TEACHING & RESEARCH ETHICS COMMITTEE

Non-Compliance Policy & Procedure

In the case of a student submitting a thesis not having sought ethical approval where ethical approval was a requirement of this University. The following procedure should be followed:

Step One

The supervisor must alert:

- (a) The student
- (b) The SEC (where there is an operational SEC or the Head of School where there is no operational SEC)
- (c) UTREC



Step Two

The award must be put on hold while a retrospective ethical application is made directly to UTREC. A covering letter from the Supervisor explaining why ethical approval was not gained prior to commencement of the research should accompany the application.



Where there were **NO** serious ethical implications

1. A letter of ethical approval will be issued to the student and the thesis re-submitted.
2. A letter offering feedback on the project will be issued to the SEC and copied to the supervisor and Head of School.



Where there **WERE** serious ethical implications

Where aspects of the research were ethically objectionable stronger sanctions may be implemented.

Applications will be dealt with on a case by case basis.

* Applications will be dealt with as quickly as possible in order to avoid unnecessarily penalising researchers, however, it is possible that the University may have to delay the award and in extreme cases the candidate may not receive the award.