

BUIRA Code of Practice

1. Introduction

The British Universities Industrial Relations Association (BUIRA) is devoted to increasing scholarly and professional knowledge about the present and future of Industrial Relations. BUIRA promotes the use of this knowledge to improve the work lives of individuals through critical debate that influences public dialogue about Industrial Relations, Employment Relations, Sociology of Work and Employment and cognate fields such as Human Resource Management. At the core of its activities, BUIRA places the rights and well-being of its members and those it comes into contact with, embracing a collegiate, welcoming and inclusive environment where members' civil and human rights and their freedom of inquiry and expression in research, teaching, and publication are respected and protected.

This Code of Practice puts forward (1) principles that underlie the professional responsibilities and conduct of BUIRA members, and (2) enforced ethical standards that apply to BUIRA members in official roles in the association and to those participating in BUIRA-sponsored activities. The purpose of the Code is to provide a guide for members regarding behaviour and provides scope for powers to investigate breaches of the Code and implement relevant sanctions where necessary. BUIRA members perform many roles, acting as researchers, educators, administrators, supervisors, commentators, activists and social interventionists who maintain a personal and professional lifelong commitment to ethical standards of behaviour, and encouraging those they come in contact with, such as colleagues, students, supervisees, collaborators, professional contacts, employees and employers, to behave ethically.

The Code of Practice is structured in three main sections: General Principles, Professional Principles, and Ethical Standards. A separate document, a "Policy and procedure for handling claims and violations related to the BUIRA Code of Practice" accompanies the present document.

2. General Principles

These general principles serve as aspirational guidelines for the members of BUIRA in matters pertaining to ethical conduct. The general principles upon which BUIRA is built are:

Responsibility: Members of BUIRA uphold professional standards of conduct, clarify their professional roles and obligations, accept appropriate responsibility for their behaviour, and seek to manage conflicts of interest that could lead to exploitation or harm. They are aware of their professional and scientific responsibilities to society and to the specific communities they belong to and engage with as part of their work.

Integrity: Members of BUIRA promote accuracy, honesty, and truthfulness in the research, teaching, and practice of their profession. They strive to conduct

themselves with dignity, fairness, and care in all their contacts and relationships with peers, students, professional contacts and the community at large.

Respect: Members of BUIRA establish relationships of trust with those with whom they work. They respect the dignity and worth of all people and the rights of individuals to privacy, confidentiality, and self-determination. They are aware of and respect cultural, individual, and role differences, including those based on gender identity, race, ethnicity, disability, age or youth, culture, nationality, religion, political persuasion, sexual orientation, real or suspected status with regards to AIDS/HIV, language, socioeconomic status, and subordinate status; and they are mindful of these factors when working with all people. They are committed to providing academic and professional work environments that are free of harassment (sexual or otherwise) and all forms of intimidation and exploitation (sexual or otherwise).

3. Professional Principles

BUIRA's professional principles aim to support the professional interactions of colleagues within BUIRA and the Industrial and Employment Relations field more broadly. The professional principles aim to guide BUIRA members on ways that do justice to members' commitment to *advancing Industrial and Employment Relations, in ways that make a difference to the broader professional environment and society.*

1. To encourage meaningful exchange of ideas that invites discussion in a supportive and collegiate manner
2. To commit to the development of BUIRA through engaging in and contributing to BUIRA activities
3. To show commitment to the professional standards of BUIRA as included in this document as well as other policy documents.
4. To treat all members of BUIRA and the wider Industrial and Employment Relations community with dignity and respect, demonstrating a collegiate attitude at all times.

4. Ethical Standards

Members of BUIRA must conduct themselves in line with the highest ethical standards. These standards are to be adhered to in all professional activities, including when interacting with other members of BUIRA and in their conduct of official roles in BUIRA.

BUIRA members, in line with equality law, must commit to the exclusion of the following:

1. Discrimination on the grounds of any individual characteristic (e.g., gender identity, race, ethnicity, disability, age or youth, culture, nationality, religion, political persuasion, sexual orientation, marital status, real or suspected status with regards to AIDS/HIV, disability, language, socioeconomic status, and subordinate status)

2. Any behaviours or acts that violate a person's dignity. BUIRA regards the following as specific but not exhaustive examples of acts and behaviours that it deems to violate a person's dignity and are illegal under British equality law:
 - Physical contact ranging from unnecessary and unwelcome touching to serious assault.
 - Intimidating behaviour, either physical or non-physical
 - Verbal and written harassment through jokes, offensive language, gossip and slander, letters and electronic communication
 - Visual display of offensive material
 - Isolating, ostracising or marginalising a person
 - Pressure/coercion into participation or relinquishing membership of political/religious groups
 - Intrusion by pestering, spying or following.
3. Words or actions which seek to demean another person or persons (this includes language that frames a conversation or exchange in credentialist terms, within power structures or perceived hierarchical distances)
4. Any behaviours or acts that cause intimidation, humiliation, ridicule, offence or loss of privacy.
5. Exploitative relationships between those of the same grade or between individuals of different grades.
6. Destructive behaviour that seeks to undermine or otherwise harm any other person.
7. Activities that involve conflicts of interest. Should any conflict of interest arise, individuals must declare such conflict of interest.

5. Subscribing to the Code of Practice

On joining BUIRA, members agree to comply, promote and enforce the contents of this Code of Practice, which exemplifies the highest ethical ideals of professional conduct of the profession. BUIRA members are responsible for:

1. *Familiarising themselves with the Code of Practice*: Lack of awareness or misunderstanding of an ethical standard is not, in itself, a defence for having been found to have engaged in inappropriate or unethical conduct as result of an investigation by the BUIRA ethics officer.
2. *Confronting ethical issues*: Any violation of the Code of Practice should be reported to BUIRA's Ethics Officer. If any member is unsure where a violation of

the Code of Practice has been committed, they should consult with BUIRA's Ethics Officer.

3. *Treating all parties fairly in any dispute over violations to the Code of Practice:* BUIRA members do not discriminate against a person on the basis of their having made an ethical claim or having been the subject of a claim. This consideration does not preclude taking action based upon the outcome of a claim.
4. *Reporting ethical violations of others:* If a BUIRA member has substantial reason to believe that there has been a violation of the Code of Practice by another BUIRA member, they should attempt to resolve the issue by bringing it to the attention of that individual. If an informal resolution appears appropriate or possible, or members seek advice about how to proceed, they may contact the BUIRA Ethics Officer for guidance.
5. *Avoiding making improper claims:* BUIRA members do not file or encourage the filing of claims that are frivolous and are intended to harm an alleged violator.

Policy and procedure for handling claims related to the BUIRA Code of Practice

1. Introduction

This document outlines the policy and procedures to deal with matters associated with the violation of the BUIRA Code of Practice. The policy and procedures are intended to reinforce the highest standards of professional ethical practice and behaviour through a process that is fair, procedurally just, and effective. This policy and procedures should be formally reviewed every four years and, if necessary, in accordance with any changes deemed necessary by the Ethics Committee. All recommended changes are approved by BUIRA's Executive Board.

2. Principles

The policy and procedures are guided by the following eight principles:

1. *Predictability* - Each individual claim is handled in a consistent, orderly, fair, and just manner.
2. *Transparency* - The BUIRA Code of Practice and the Policy and Procedures for Handling Claims of Ethical Standards Violations are made available to all members. Charges and responses are made known to the parties, and decisions are explained and documented.
3. *Professionalism* - Each case is handled on the basis of goodwill and with a belief that there is no malicious intent on the part of anyone involved.
4. *Impartiality* - All parties are treated equally and impartially.
5. *Democracy* - Both parties have voice and must be given the opportunity to be heard. The process includes checks and balances.
6. *Confidentiality* - The process is confidential; but, within the process all individuals involved, their claims, and responses are known to each other.
7. *Efficiency* - A commitment is made to resolve issues swiftly, allowing proper time for quality deliberation.
8. *Education* - The process is intended to be educational with regard to ethics and appropriate professional practice for all parties involved.

3. Role, Scope and Responsibilities

The implementation of this policy and procedures is the responsibility of BUIRA members who are appointed and elected to the various roles as detailed in this document. Members involved in enforcing BUIRA's policy and procedures have an obligation to act in an unbiased manner, to work expeditiously, to safeguard the confidentiality of any adjudication process, and to follow the procedures established

to protect the rights of all individuals involved. In addition, each member is expected to act only to uphold the Ethical Standards of the Code of Practice while keeping in mind the principles that guide this policy and procedures.

There are two different dimensions to handling claims related to the BUIRA Code of Practice: (a) education, information and guidance, and (b) application and maintenance of policy and procedure for handling claims related to the BUIRA Code of Practice.

4. Education, information and guidance to members

Education, information and guidance to membership about Ethical Standards related to the BUIRA Code of Practice is the responsibility of the Ethics Officer.

Ethics Officer Role

The Ethics Officer role is a dedicated role elected by the BUIRA membership. The role has a term of 3 years and is elected outside of the stewardship cycle. The role is open to re-election only for an additional term. Having served one term, if not seeking re-election individuals shall not be eligible to serve again in the role for a period of 2 years. Having served 2 terms (e.g., including re-election), individuals shall not be eligible to serve again for a period of 5 years. If the ethics officer takes maternity/paternity/adoption leave the term will be extended to cover this period of absence. During the absence a substitute ethics officer will be put in place.

The responsibilities of the Ethics Officer are, as follows:

1. Point of contact for BUIRA members on ethics inquiries
2. Provides expert advice on ethics matters to BUIRA members
3. Provides policy and strategy advice to the Ethics Committee
4. Reviews ethics policy annually and suggests necessary changes to the BUIRA exec
5. Provides a report to the exec annually on any issues arisen, while maintaining confidentiality.
6. Reports annually to the BUIRA AGM on opportunities to educate individuals about the Code of Practice and the Policy and Procedures for handling claims related to the BUIRA Code of Practice
Provides informal counselling and referrals to individuals on ethics matter
7. Educates individuals about the Code of Practice and the Policy and Procedures for handling claims related to the BUIRA Code of Practice
8. Receives and processes requests for interpretations of the Code of Practice.
9. Screens inquiries to assess whether the matter meets criteria for filing a claim.
The Ethics Officer makes no judgments on the merit of a claim, but rather explains the process for filing a claim and provides forms and materials.
10. Notifies the Chair of the Ethics Committee if a claim may be forthcoming
11. Discusses claims of alleged violations to the Code of Practice with members

12. Maintains timely communication with individuals involved in a claim about the status of the claim.
13. Maintains records of ethics inquiries and claims
14. Maintains historical records of all ethics-claim procedures
15. Serves as liaison to legal counsel where appropriate
16. Coordinates appointments of roles to the Ethics Committee
17. In a case where the Ethics Officer is a party related to the claim, has a relationship with any party in the dispute or is conflicted, he/she shall recuse himself/herself and the Chair of the Ethics Committee Chair shall make an appointment of a different expert member to fill the role. In the event that a violation is proven, the Ethics Officer will be removed from the role with immediate effect and the member appointed by the Chair of the Ethics Committee will serve for the remaining of the tenure of the outgoing Ethics Officer.

5. Application and maintenance of policy and procedure for handling claims related to the BUIRA Code of Practice

Application and maintenance of the policy and procedure for handling claims related to the BUIRA Code of Practice are the responsibility of the Ethics Committee and the Ethics Appeals Committee.

Ethics Committee

The Ethics Committee is an enforcement committee, comprising two members of the BUIRA Executive Committee appointed by the BUIRA President (one of whom will act as Chair of the Ethics Committee), and up to three elected BUIRA members. All members except the Ethics Officer serve for a period of 1 year. The roles are not open for consecutive re-election. Having served, individuals shall not be eligible to serve again in the same role for a period of 2 years. In the event that there are no expressions of interest for membership of the Ethics Committee, the Stewardship and Executive Committee shall undertake these roles.

The responsibilities of the Ethics Committee are, as follows:

1. Proposes new ethics-related initiatives
2. Reviews and recommends changes to the Code and the Policy and Procedures
3. Reports to BUIRA Executive Board on ethics committee meetings
4. Prepares summaries of decisions regarding ethical questions for the purpose of educating BUIRA members (Note: Summaries may be anonymised, published and distributed to the membership when the BUIRA Executive believes doing so constitutes an opportunity to educate members).
5. Explains adjudication procedures; receives and processes claims of alleged violations of the Code of Practice that have passed screening by the Ethics Officer

6. Compiles an objective, impartial, and factual account of the claim in question, and makes the best possible recommendation for the case. In taking action, the committee shall do so only for just cause and shall only take the degree of disciplinary action that is reasonable. The Ethics Committee engages in these procedures adhering to the guiding principles of predictability, transparency, professionalism, impartiality, democracy, confidentiality, efficiency and education.
7. In a case where any member of the Ethics Committee is a party related to the claim, has a relationship with any party in the claim or is conflicted, the individual shall recuse themselves from all deliberations and votes and the Ethics Committee Chair shall appoint a replacement so that the Ethics Committee shall fulfil its responsibilities. If this is the case of the Chair of the Ethics Committee, the Chair shall recuse themselves from all deliberations and votes and the President of BUIRA shall appoint a replacement so that the Ethics Committee shall fulfil its responsibilities.

Chair of the Ethics Committee

The Chair of the Ethics Committee is a single position undertaken by one of the two members of the BUIRA Executive Committee appointed by the BUIRA President to be part of the Ethics Committee. The role has a term of 2 years. The role is not open to re-appointment. Having served one term, if not seeking re-election individuals shall not be eligible to serve again in the role for a period of 1 year. Having served twice, individuals shall not be eligible to serve again for a period of 5 years. If the Chair of the Ethics Committee takes maternity/paternity/adoption leave the term will be extended to cover this period of absence. During the absence a substitute Chair of the Ethics Committee will be put in place.

The responsibilities of the Chair of the Ethics Committee are, as follows:

1. Convenes the Ethics Committee when a claim is received
2. Presides over all adjudication processes
3. Issues the final written decision to all parties, including to the Ethics Officer and the BUIRA Executive Committee
4. Confers with the BUIRA Executive Committee on behalf of the Ethics Committee where appropriate
5. Reports to the BUIRA Executive Committee on behalf of the Ethics Committee

Ethics Appeals Panel

In cases where individuals involved in a claim want to appeal the outcome of their claim, this will be dealt with by an independent panel assembled to hear appeals (the Ethics Appeal Panel). The Ethics Appeals Panel will comprise a Chair and two members appointed by the Secretary of BUIRA. The panel is assembled to settle appeals on a case-by-case basis. This means that the term begins and ends with each case. Each panel will not be comprised of the same members of a previous panel to ensure there are no conflicts of interest.

The responsibilities of the Ethics Appeals Panel are, as follows:

1. Reviews the claim and recommendation in an objective, impartial, and factual manner.
2. Assesses the fairness of the outcome in view of the facts of the claim.

The Ethics Appeal Panel engages in these procedures adhering to the guiding principles of predictability, transparency, professionalism, impartiality, democracy, confidentiality, efficiency and education.

6. Operating Procedures for ethical claims

1. *Quorum and voting* - The quorum is constituted by all members of the Ethics Committee. Decisions shall be by two-thirds vote of members of the Ethics Committee. Members of the Ethics Committee are not allowed to send representatives to deliberate on their behalf. Votes on claims can be undertaken by post, by e-mail, or by voice (e.g., conference call, ICT platforms, etc). In the event that a member of the Ethics Committee has to recuse themselves from a claim, the BUIRA President shall temporarily appoint a replacement.
2. *Conflicts of interest* - If an individual involved in a claim challenges the composition of the Ethics Committee or the Ethics Appeal Committee, it is the responsibility of the individual to inform the President of BUIRA, in writing (via email), before the decision is made or any appeals process begins. Challenges can be made for the following reasons: alleged bias, prejudice or conflict of interest. Notwithstanding the previous, members of the Ethics Committee or the Ethics Appeal Committee shall be vigilant in assessing their own impartiality, as well as any questionable appearances due to relationships, and shall take appropriate action to eliminate any impression of impropriety.
3. *Means for handling claims* - Three principal means for handling claims are telephone consultations, e-mail, and written communication. Final decisions must be communicated in writing.
4. *Confidentiality* - At the point of original suspicion or informal query, members are urged to avoid public disclosure of the situation. Once a formal claim is filed with the Ethics Officer, parties involved shall avoid public disclosure and discussion of the claim in order to respect the dignity and right to privacy of all involved. Breach of this requirement may be construed as malicious and may result in dismissal of the claim by the Chair of the Ethics Committee as it, in itself, represents a violation of the Code of Practice. Throughout the process, the Ethics Officer, the Ethics Committee or the Ethics Appeal Committee, and any parties involved are all expected to respect the confidentiality of the process as well as its outcome. Communication to parties outside the process is inappropriate and will be deemed a violation of due process.
5. *Support and use of counsel/legal advisor* - Proceedings undertaken by the Ethics Committee or and Ethics Appeals Panel are not legal proceeds and are closed to legal counsel of all parties. People are entitled to be accompanied by a person of their choosing for support.

6. *Informal protocols and queries* - In all cases, BUIRA members are first encouraged to resolve claims directly and informally with the other individual(s) involved. If informal resolution is not possible, the individual making the claim has the option to file a formal claim. The Chair of the Ethics Committee shall also assess whether informal resolution is possible at the point in the process where the response is received and both parties have provided complete information.
7. *Amendment* - The Policy and Procedures for handling claims of ethical-standards violations may be amended by a vote of the BUIRA Executive Board, following a recommendation by the Ethics Committee, the Ethics Officer and or an Ethics Appeals Panel. All changes (regardless of the nature) must be communicated to BUIRA members through BUIRA outlets (e.g., BUIRA newsletter, website, AGM, etc.).
8. *Time limits for the filing of formal claims* - Claims regarding research must be filed within 3 years of the alleged incident. Claims regarding personal conduct must be filed within 6 months of the alleged incident. Claims regarding financial or other matters must be filed within 18 months of the alleged incident. The Ethics Officer may accept formal claims outside of the above time frames under exceptional circumstances.
9. *Timelines* - The Ethics Officer, the chair of the Ethics Committee or the Chair of an Ethics Appeals Panel may, at their discretion, accept documentation submitted late, and may also delay or postpone review of a case for good cause. Additionally, individuals involved in a claim may request that the Ethics Committee delay or postpone its review of a case for good cause if done so in writing. Otherwise, all timelines for submission and response must be adhered to for matters to be resolved efficiently and in good faith.
10. *Filing of formal records* - Final written reports must be filed formally by the Chair of the Ethics Committee and the outcome must be shared with the Ethics Officer. A copy of the report, with all names or identifying marks removed from the report, may be made available to the Ethics Committee for the purpose of learning and improvement of processes. Records will be stored on secure university servers, in line with GDPR. Files will be password protected.

7. Processes

Screening of Inquiries

1. All inquiries are screened by the Ethics Officer. The Ethics Officer discusses the incident with the individual to assess preliminarily if:
 - a. The incident occurred within the domain of a BUIRA activity.
 - b. The incident is covered under the Ethical Standards of the Code of Practice
 - c. The claim is being filed within the specified time limits.

2. If YES to all of the above, the Ethics Officer sends a claim pack to the individual to initiate a formal claim. The pack includes an Ethics Claim Form, a copy of the Code of Practice, and a copy of this policy and procedures document.
3. If NO to any of the above, the Ethics Officer informs the individual that the matter is not subject to BUIRA processes and counsels the individual for educational purposes, if the individual so wishes.
4. The Ethics Officer notifies the Chair of the Ethics Committee that a claim may be forthcoming.
5. Alleged violations of the General and Professional Principles of the Code of Practice, that are non-enforceable aspirations, will not be considered.

Eligibility to File Claims

1. After initial screening by the Ethics Officer, the Ethics Committee will receive claims that BUIRA members have violated one or more sections of the Ethical Standards of the Code of Practice from the following individuals:
 - a. Any member who has reason to believe that a BUIRA member has violated the Ethical Standards of the BUIRA Code of Practice.
 - b. The Chair of the Ethics Committee on behalf of the BUIRA membership, when the Chair has reason to believe, through information received by the Committee, that BUIRA members have violated the BUIRA Code of Practice.
 - c. Non-members (e.g., collaborators, professional contacts, service providers, etc.) under specific circumstances having to do with their involvement in BUIRA activities.
2. If possible, individuals should attempt to resolve claims directly with other members before filing ethical claims.

Filing of Formal Claims

1. All formal claims are received by the Chair of the Ethics Committee.
2. Only written claims will be considered. Oral and anonymous claims are not permitted.
3. Claims must be filed within the specified time limits. Individuals eligible to file claims must:
 - a. Complete and sign an Ethics Claim Form that includes the name of the individual making the claim, name of the member involved in an alleged violation, details of the alleged violation and names and contact information for any other individuals who have knowledge of the facts involving or related

to the claim. The form must be signed by the individual making the claim in order for the claim to be examined.

- b. Include a brief supporting statement with evidence of how the member violated the referenced ethical standards.
- c. Supply any pertinent supporting documents.
- d. If a claim has been filed by a BUIRA member against a non-member, the non-member will be asked if they wish to participate in the process. If no, the Ethics Committee, based on the claim received from a member, will investigate the matter and take action commensurate with the degree of involvement of the non-member with BUIRA. If yes, the process will go forward as it would for a member.

Preliminary screening of formal claim by Ethics Officer

1. The Ethics Officer receives and screens the claim to assess preliminarily if:
 - a. The Claim Form is signed and filled out completely, accurately, and is accompanied by supporting materials.
 - b. The claim is covered under the Ethical Standards of the Code of Practice and may be a violation of a specific Standard that is referenced on the Claim Form.
 - c. The claim has been filed within the specified time limits.
2. If YES to all of the above, the Ethics Officer notifies the Chair of the Ethics Committee and sends a copy of the Claim Form and supporting documentation.
3. If NO to any of the above, the Ethics Officer contacts the individual to:
 - a. Inform them that the forms and materials are not in conformance with the requirements and must be resubmitted for consideration.
 - b. Inform them that the claim is not subject to adjudication by the Ethics Committee, or
 - c. Provide counselling for educational purposes if the individual so wishes.

Preliminary screening of formal claim by the Chair of the Ethics Committee

1. The Chair of the Ethics Committee receives the screened claim and any supporting documentation from the Ethics Officer.
2. The Chair of the Ethics Committee screens the claim to determine preliminarily if:
 - a. The claim is a matter of education or a matter of potential violation

- b. The claim, if proven, has sufficient grounds to warrant a violation of the Ethical Standards in the Code of Practice
 - c. The claim is not trivial
 - d. There is sufficient evidence to proceed
3. The Chair of the Ethics Committee verifies the specific standard that has been violated and any additional subsets of the Ethical Standards if not included on the Ethics Claim Form.
 4. After initial screening by the Chair of the Ethics Committee, if the claim exhibits sufficient grounds to warrant a violation, the Chair sends a formal notice of claim to the individual involved in the alleged violation and notifies the Ethics Committee that a claim will be processed
 5. If the claim does not show sufficient grounds to warrant a violation, the Chair of the Ethics Committee notifies the individual making the claim that the matter is dismissed. The Chair of the Ethics Committee places the claim and dismissal action on file and asks the Ethics Officer to record this.

Notice of claim, informal resolution, and investigation

1. Every formal claim not dismissed or deferred by the Chair of the Ethics Committee is promptly communicated to the individual involved in the alleged violation. This individual must be referred to as “Respondent” in all documentation.
2. The Chair of the Ethics Committee sends the Respondent a copy of the formal claim via email alongside a copy of this policy and procedures document, the Code of Practice and any evidence/documents submitted in support of the claim.
3. The Respondent has 30 days from the date of receipt of the claim to respond to the Chair of the Ethics Committee. The Respondent is asked to provide a written response addressing the section(s) of the Ethical Standard(s) of the BUIRA Code of Practice they have allegedly violated and may also submit any evidence and documents they wish to be considered by the Ethics Committee in reviewing the claim.
4. If a Respondent fails to respond to the claim within the time allowed or does not respond to the inquiry in a suitable manner, the Chair of the Ethics Committee can forward the matter directly to the Ethics Committee to decide the matter without participation by the Respondent.
5. Once the Chair of the Ethics Committee receives the response, a copy is shared with the individual making the complaint (“The Complainant”). For transparency of the process, the parties involved, and the Ethics Committee members will become known to each other. The parties may be asked by the Ethics Committee to provide additional information in writing that also will be shared.

6. The Chair of the Ethics Committee will ask the Complainant and Respondent if they would like to resolve the matter informally before the process of reviewing and decision begins. If not, the case moves forward. If the Complainant and Respondent both agree to discontinue the claim process, the Ethics Committee Chair will accept the withdrawal and consider the case dismissed.
7. If the case moves forward, the Chair of the Ethics Committee convenes the Ethics Committee to start the formal process. If a member of the committee is unavailable, the BUIRA President shall appoint a replacement to participate in the process to its completion.
8. The Ethics Committee receives from the Chair the signed Claim Form and supporting documentation, and the signed response from the Respondent and supporting documentation.
9. Within a timescale of 60 days, the Ethics Committee will dismiss, defer, or deliberate the case; request or allow additional information from either or both parties to be presented; and render a final written decision.
10. If the case is dismissed or deferred, the Complainant and Respondent are notified in writing of the reasons for dismissal or deferral. A claim can be dismissed by the Ethics Committee if the Respondent agrees to the fact that a breach of the ethical standards in the Code has occurred and is willing to immediately take corrective action deemed sufficient by the Ethics Committee.

Final decision

1. The Ethics Committee renders a final, written decision within 60 days from the start of the review process that is initiated when the Chair of the Ethics Committee forwards the claim, response, and all documents to the full committee.
2. The written decision includes findings of fact and conclusions as to whether a violation occurred as alleged in the claim, along with the ruling and/or sanctions. If no violation was proven, the Ethics Committee report recommends dismissal of the claim. The Chair of the Ethics Committee notifies both the Respondent and Complainant regarding the outcome of the claim and notice of final decision. The Chair then forwards a copy of the report both to the Complainant and Respondent. All final-decision reports are filed with the Chair of the Ethics Committee.
3. If the Ethics Committee dismisses the claim, the dismissal is noted in the final decision.
4. If the Ethics Committee renders a decision of violation of an Ethical Standard, the Ethics Committee may impose corrective action with or without sanctions. Corrective action can include educational requirements or other actions as may be necessary to remedy a violation or protect the interests of BUIRA.
6. Possible actions taken by BUIRA may include, but are not limited to:

- a. Private reprimand: For ethics violations not likely to cause harm to another person or to the profession. These may include corrective actions (such as issuing a formal, written apology).
- b. Public statement: For ethics violations not likely to cause harm to another person or to the profession but that have been distributed or made visible to the public, BUIRA may issue a public statement that reiterates its commitment to promoting and upholding the highest standards of ethical conduct. Any public statement will centre BUIRA and its commitment and should take care not to single out, undermine or humiliate any person's dignity.
- c. Denial of BUIRA privileges: For violations likely to cause harm to individuals and/or the profession it may be deemed appropriate to, for example, ban an individual from attending a BUIRA event.
- d. Termination of membership: For violations likely to cause substantial harm to another person or to the profession or those that are of sufficient gravity to warrant such action.
- e. Reinstatement: Persons whose membership has been terminated may apply for reinstatement after three years of notice of the final decision. Reinstatement requires a 2/3 vote of the Ethics Committee.
- f. The penalties for failing to fulfil either corrective actions or sanctions in a satisfactory manner may result in automatic suspension of membership until the requirement(s) is met
- g. A copy of the Ethics Committee report, with all names or identifying marks removed from the report, may be made available to the members of the BUIRA Executive for the purpose of learning and improvement of processes.

Notices of decisions

The decisions and decisions both of the Chair of the Ethics Committee (in the case of deferrals and dismissals) and of the Ethics Committee (in the case of dismissals and decisions of ethical violations), are subject to notice in the Ethics Committee report.

Notice of Appeal

1. If a Respondent or Complainant wants to contest the decision of the Ethics Committee, an appeal may be initiated within 30 days of the dated decision letter. The individual, known as the "Appellant," must contact the Ethics Officer to request an appeal. The Ethics Officer screens the request for appeal and sends an Appeals Form to the Appellant. The Appellant submits a complete and signed Appeals Form, along with a supporting statement to the Ethics Officer. Only written appeals will be considered.

2. Appeals to the Ethics Officer are only permitted on the basis of decisions and/or sanctions. Appeals are not allowed for dismissals or on matters of due process by the Ethics Committee.
3. The filing of an appeal automatically stays the implementation of the final decision by the Ethics Committee until the appeal is resolved.
4. Once the Ethics Officer receives the completed Ethics Appeal Form with supporting documentation, the Ethics Officer has to confer with the BUIRA President to determine if the Ethics Appeal Panel should be formed.
5. If NO, the appeal is dismissed.
6. If YES, the BUIRA Secretary will assemble an independent Ethics Appeal Panel comprised of three BUIRA members with no ties to the prior process or to the Complainant or Respondent. This panel will follow the same process as the Ethics Committee, as outlined above. The Ethics Appeal Panel will use the prior documentation, including the notice of decision, to inform its process. The appealing party can submit additional documentation if necessary. The appeals process must conclude within 60 days, with a written decision and report.
7. The decision by the Ethics Appeal Panel is final and limited to upholding the decision; upholding the decision but altering sanctions; or reversing the decision.

Filing of decided cases

A completed file containing all forms and supporting documents is forwarded to the Ethics Officer by the Chair of the Ethics Committee or the Chair of the Ethics Appeal Committee for confidential and encrypted storage at the close of a case. Any records will be kept and maintained in accordance with GDPR.

Document audit box	
Document Title:	BUIRA Code of Practice
Authors:	Jenny K Rodriguez and Laura William
Date updated:	Launched May 2022
Version:	1
Previous review date:	N/A
Next review date:	May 2026
Related Regulations:	BUIRA Constitution