

# Research Integrity Policy

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# 1.0 Introduction

This document provides a policy for research integrity across all scholarly activities within the Dyson Institute of Engineering and Technology. The policy shall serve as the primary reference on research governance for institute staff and students. The standards outlined herein apply to all research endeavours within the Institute, collaborative projects, and any other research initiatives bearing the Institute's name. All Institute members engaging in research are expected to familiarise themselves with and adhere to this policy.

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## 2.0 Purpose and Scope

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### 2.1 Purpose of the Policy

This policy aims to uphold research integrity as the cornerstone of all scholarly inquiry conducted within the Dyson Institute. Research integrity is embodied through adherence to core ethical values including honesty in all facets of research, methodological rigour according to disciplinary standards, transparency, and open communication to build trust and confidence, demonstrative care and respect for all research participants and subjects, and accountability across the research process to promote a positive ethical climate. In essence, this policy seeks to safeguard integrity as the foundation of research carried out under the institute's banner, from conception to dissemination. By ingraining these principles institutionally, the goal is to advance ethical, high-quality research that endures rigorous scrutiny and benefits society through the generation and transfer of knowledge and practical applications conducted to the highest standards.

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### 2.2 Scope

This policy covers any scholarly work of direct relevance to the needs of Dyson, the Dyson Institute, the public and external bodies; scholarship; the invention and generation of ideas, images, performances, artefacts including design, where these lead to new or substantially improved insights, and the use of existing knowledge in experimental development to produce new or substantially improved materials, devices, products, and processes, including design and construction.

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### 2.3 Who is involved

This policy involves all staff and students at the Dyson Institute who conduct research (including those with visiting or honorary contracts and students on placements), whether the research is conducted on the Institute's premises or using the Institute's facilities. Third parties (for example Dyson engineers or staff of other institutions collaborating with Dyson Institute staff and students or on Institute premises) are expected to adhere to the Institute's standards for integrity in research conduct.

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### 2.4 Breach of the Research Integrity Policy

Any breach of this policy will be handled according to the Research Misconduct procedure explained in Section 5 of this policy.

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## 2.5 Policy Ownership

The policy is owned by the Research Lead and reviewed annually. It is endorsed by the Dyson Institute Research Committee for approval by Academic Board.

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## 2.6 Definitions

**Research** – A systematic investigation undertaken to develop or contribute to knowledge, including studies in all disciplines, whether basic or applied. Expanded definition of research is provided in Appendix 1.

**Researcher** – in this policy refers to anyone involved in a research project, including but not limited to supervisors, advisors, staff researchers, and students.

**Research Misconduct** – Any action that significantly deviates from accepted practices in proposing, conducting, or reporting research, including fabrication, falsification, plagiarism, breaches of confidentiality, or breaches of ethical or legal requirements.

**Collaborator** – Any individual or organisation, internal or external to the Institute, who formally contributes to a research project.

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# 3.0 Principles of Integrity

To ensure alignment with current standards and regulations, the Dyson Institute Research Committee (DIRC) conducts periodic reviews of this policy to incorporate best practices and adherence to pertinent legislation applicable to research. DIRC adopts its Principles of Integrity from the core elements of UKRIO's Concordat to Support Research Integrity (linked [here](#)), given as:

**Honesty** - 'in all aspects of research, including in the presentation of research goals, intentions and findings; in reporting on research methods and procedures; in gathering data; in using and acknowledging the work of other researchers; and in conveying valid interpretations and making justifiable claims based on research findings.'

**Rigour** - 'in line with prevailing disciplinary norms and standards, and in performing research and using appropriate methods; in adhering to an agreed protocol where appropriate; in drawing interpretations and conclusions from the research; and in communicating the results.'

**Transparency and open communication** - 'in declaring potential competing interests; in the reporting of research data collection methods; in the analysis and interpretation of data; in making research findings widely available, which includes publishing or otherwise sharing negative or null results to recognise their value as part of the research process; and in presenting the work to other researchers and to the general public.'

**Care and respect** - 'for all participants in research, and for the subjects, users, and beneficiaries of research, including humans, animals, the environment, and cultural objects. Those engaged with research must also show care and respect for the integrity of the research record.' and

**Accountability** – 'of funders, employers, and researchers to collectively create a research environment in which individuals and organisations are empowered and enabled to own the research process. Those engaged with research must also ensure that individuals and organisations are held to account when behaviour falls short of the standards set by this Concordat.'

The Principles of Integrity must be adhered to throughout all phases of research, including pre- and post-research stages like proposal and peer review, irrespective of the field of study.

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## 4.0 Code of Practice in Research

Research must comply with all relevant statutory and regulatory obligations, including:

- The Animals (Scientific Procedures) Act (1986)
- The Human Tissue Act (2004)
- [The Declarations of Helsinki](#)
- [The UK Policy Framework for Health and Social Care Research](#)
- The Data Protection Act (1998) alongside its successors, the General Data Protection Regulation (2018) Data Protection Bill (2018)
- Health and Safety at Work Act (1974).

Additionally, research conducted internationally should align with the statutory and regulatory requirements of the respective country or countries involved, in addition to adhering to Institute guidelines on overseas research and safeguarding, as specified in the Institute's Ethics Policy.

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### 4.1 Research Design

Researchers are responsible for:

- Planning for their research to ensure their work is conducted with integrity, efficiency, and consideration for both academic standards and environmental sustainability.
- Designing their research in a way to make sure it contributes to existing knowledge in alignment with current advancements in the field.
- Keep thorough records that explain why they are conducting their study and any changes they make along the way. Researchers should clearly outline these reasons in their study plans if needed.
- Following established best practices and standards relevant to their research field, as outlined in professional codes of conduct and guidelines.
- Planning for appropriate data storage and management strategies in accordance with Dyson's Global Data Loss Prevention Policy and Dyson's Global Record Retention and Disposal Policy. To be defined in the project's Data Management Plan.
- That all researchers need to complete a data management plan to be submitted with each proposal before starting the project.

- Planning for documenting their research in accordance with FAIR Principles (Findable, Accessible, Interoperable, and Re-usable) to facilitate comprehensive reporting and open communication.
  - Evaluate the potential sustainability and environmental impact of their research project in accordance with Dyson's Global Environmental Policy.
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## 4.2 Collaborative Research

Collaborative research implies to any academic and non-academic collaborations including team projects, work with Dyson and Dyson Farming, and cross-institutional collaborations. We acknowledge that standards and requirements may differ across disciplines, institutions, and countries. If conflicts or discrepancies arise between these varying requirements and policies, for additional guidance please refer to the Research Committee.

All individuals involved in collaborative research must work in accordance with the collaborative agreement. Researchers should ensure collaborators are aware of the expected behaviours and research integrity standards, including legal and ethical obligations at the Institute.

Researchers should follow the standards for international collaborations as set out in the 'Global Code of Conduct'. Before starting the research, researchers should clarify and agree on the roles and responsibilities of all collaborators. It must be determined where the funding is coming from and where the responsibility for the research lies, whether with Dyson Institute or another institution.

Researchers should agree on the applicable laws and regulations, as specified in the collaborative agreement. procedures for handling conflicts, protection of intellectual property, and potential cases of misconduct. Researchers should discuss with collaborators and clarify the content and authorship of submissions for the publication of research results. Researchers should ensure all collaborators are aware of Dyson Institute policies.

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## 4.3 Ethical Principles

In addition to adhering to legal and regulatory mandates, the Dyson Institute Ethics Policy establishes a set of ethical guidelines that outline common professional standards and values within the higher education domain. All research endeavours must undergo the appropriate ethical evaluation. Fundamental principles guiding the handling of ethical concerns within the Institute include introspection, open discourse, institutional responsibility, and proportionality. In essence, individuals conducting research under the Institute's name, on its behalf, or in collaboration with the Institute must conscientiously assess whether their actions align with the Institute's ethical standards, and if so, seek formal evaluation and approval from the Ethics Committee as outlined in the Institute's Ethics Policy. Accordingly, for any research activities, researchers must:

- Have ethical approval granted before starting their project.
- Ensure that required ethical approval application forms are completed, and ethical approval is obtained before beginning any research. This includes obtaining all relevant approvals both within the UK and internationally. For detailed guidelines and requirements, refer to the Institute's Ethics Policy.
- Regularly review these concerns throughout the research to identify and manage any new ethical considerations appropriately.

- Continuously assess and prioritize the safety and well-being of all participants and researchers involved in the study.

The information for how to apply for ethical approval and the review procedure is found in the Dyson Institute Ethics Policy.

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#### 4.4 Risk Assessment

Any potential risks to all researchers and any participants involved in the research must be carefully considered and assessed. All researchers must evaluate relevant risks, complete risk assessments, and implement appropriate safety measures prior to beginning the research. For any further information please contact the Operational Engineer.

Researchers must follow all health and safety protocols in accordance with Dyson's Global Health and Safety Policy and Standards, [Health, and Safety at Work Act 1974](#). Researchers should follow any relevant UK government foreign travel advice, if doing overseas research.

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#### 4.5 Data Management and Retention

Researchers must ensure compliance with data privacy regulations. Collect, store, secure, and transfer (if applicable) research data in accordance with GDPR, Data Protection Act 2018, Dyson's Global Data Loss Prevention Policy and Dyson's Global Record Retention and Disposal Policy, funder requirements, ethical approval, and relevant regulatory frameworks, including overseas legislation where applicable.

They must delete or securely destroy research data when its agreed retention period has elapsed, following all legal, ethical, funder, organisational, and regulatory requirements. They should regularly review stored data to ensure continued accessibility for future reference if needed.

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#### 4.6 Research Outputs

All researchers must ensure the integrity, transparency, and ethical standards of their research outputs including publications.

Researchers must adhere to all relevant legal requirements (e.g., GDPR, Data Protection Act 2018, Nagoya Protocol, Export Controls regulation) and obligations agreed with collaborators, funding bodies, or third parties before disclosing any material. This includes obligations agreed with Dyson.

Researchers must disclose any potential conflicts of interest in the stage 1 ethical process. Researchers must seek IP approval for their work before disclosing any material and address any inappropriate attempts to influence research interpretation or dissemination with the institution.

Researchers must publish and communicate research results honestly and openly, respecting any ethical, legal, funder, or contractual obligations. Researchers must clearly acknowledge all sources used in their research and seek permission from copyright holders if using others' work, including text, images, figures, and tables.

Researchers should report research results regardless of whether they support the hypothesis, through appropriate channels such as journals, books, chapters, articles, conference proceedings, reviews, software, and databases.

Researchers should present findings in a clear and understandable manner for the intended audience, including various research stakeholders. Clearly state the status of the research (e.g., in progress, finalized, post-peer review) when

discussing findings publicly.

Researchers should describe materials and methods in sufficient detail for replication. They must be clear about the limitations of their results and do not overstate their significance. All results must be reported with due care and respect for participant/data confidentiality. Unless specified in agreements and obligations, if possible, Researchers should deposit raw data in publicly available repositories where appropriate and achievable, and report results in line with disciplinary standards and FAIR Principles (Findable, Accessible, Interoperable, and Re-usable).

Researchers should comply with publication integrity principles. It must be avoided publishing substantially overlapping research in multiple journals simultaneously without proper disclosure and acknowledgment of previous or co-publications. Any errors in published research must be corrected as soon as possible.

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#### 4.7 Academic Freedom and Freedom of Speech

The Dyson Institute is committed to promoting a research environment that values academic freedom and freedom of speech.

**Academic Freedom** – The Dyson Institute is committed to fostering academic freedom, recognising it as fundamental to innovation and the pursuit of knowledge. Academic freedom protects the rights of researchers and educators to explore, discuss, and communicate ideas—including controversial ones—within their areas of expertise, without fear of institutional censorship or sanction. This right is exercised within the boundaries of relevant legal, ethical, and safety standards. The Ethics Committee supports and safeguards these freedoms in all research activities, provided the Institute’s ethical principles are upheld.

**Freedom of Speech** - The Institute also upholds freedom of speech, in line with the Higher Education (Freedom of Speech) Act 2023. Freedom of speech guarantees that all members of our community, and visitors, can express their views and participate in open debate both inside and outside the academic context, subject only to legal limitations (such as those relating to hate speech, defamation, or public safety). We encourage respectful, reasoned discussion and protect the right to voice unpopular or challenging opinions.

Further details on how both academic freedom and freedom of speech are protected within the Dyson Institute are set out in the Institute’s Freedom of Speech Code of Practice.

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#### 4.8 Safeguarding and Equity, Diversity, and Inclusion

The Dyson Institute is committed to fostering a research environment guided by the principles of equity, diversity and inclusion (EDI) and to taking all reasonable steps to safeguard the well-being of our community. These values are implemented in a manner that respects and protects academic freedom and freedom of speech outlined in Section 4.7.

Researchers must follow Safeguarding and Prevent Policy, and Sexual Violence and Misconduct Policy throughout the research process. Researchers should contribute to creating a research environment that is inclusive and accessible. Researchers are responsible for ensuring their collaborators are aware of, and comply with, the Institute’s policies safeguarding, and sexual misconduct.

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## 5.0 Research Misconduct



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## 5.1 Research Misconduct Definition

For the purposes outlined in this Code of Practice and Procedure, misconduct in research encompasses, but is not restricted to, engaging in, planning, or attempting any of the following actions during the proposal, execution, or reporting phases of research.

- Data fabrication or falsification, 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, other vertebrates, cephalopods, or the environment.
- Failure to follow existing guidance on good practice in research, including proper handling of privileged, private, or confidential information collected on individuals during the research.
- Misconduct 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.

Subject and Reporter in this policy refers respectively to the person who is suspected to have committed research misconduct and the person who reports a suspected allegation.

Misconduct in Research encompasses both intentional actions and negligent oversights, but excludes genuine mistakes, differences in interpretation, or judgment in assessing research methodologies or outcomes. Additionally, it does not encompass misconduct unrelated to research processes and excludes substandard research practices.

The scope of misconduct in research as defined in this Research Integrity and Ethical Code of Practice does not cover issues pertaining to students' assessed coursework and examinations, as such matters are governed by the Institute's Academic Integrity and Misconduct Policy which can be found [here](#).

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## 5.2 Responsibilities

The Employment Rights Act 1996 (as amended) provides legal safeguards to workers, ensuring they cannot be dismissed or subjected to adverse consequences for raising concerns they reasonably believe indicate unlawful or other inappropriate practices within the organization. According to this Act, a worker's position within the Institute should not be compromised if they express concerns about research conduct that they reasonably believe to be accurate, in good faith, and in compliance with established procedures.

All Institute members and individuals authorised to work or utilise Institute facilities are obligated to report any credible allegations of Research Misconduct, whether witnessed or suspected. Confidential and good faith reports of suspicions will not result in disciplinary action against the individual making the report, as outlined in compliance with the [Employment Rights Act 1996](#). However, if an allegation is deemed frivolous, vexatious, and/or malicious, the Registrar may recommend action against the individual making the report.

The Institute is dedicated to guaranteeing that every accusation of Research Misconduct undergoes evaluation, and if the Registrar deems it necessary to conduct further investigation (following the Procedure outlined below), it will be done meticulously, impartially, promptly, and with utmost care and sensitivity.

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### **5.2.1 Registrar**

The Registrar, reporting to the Director, is the Institute's chief administrative officer and, as such, has overall responsibility for ethical conduct in the Institute and for the Institute's compliance with government policy and legislation.

### **5.2.2 The Dyson Institute Research Committee**

The Dyson Institute Research Committee (DIRC) is responsible for Institute's policies that promote responsible conduct of research and for meeting relevant regulatory requirements.

### **5.2.3 The Dyson Institute Ethics Committees**

The Dyson Institute Ethics Committee (DIEC) has overall responsibility for the Institute's ethics review process. DIEC reports to Academic Board and recommends changes to this policy, its remit as set out in the Institute's regulations, and the composition of its membership.

### **5.2.4 Research Lead**

The Research Lead is appointed by Deputy Director of Academics to provide leadership in all matters relating to research and works closely with the Dyson Institute colleagues to create an environment conducive to world leading applied and curiosity-driven research. The Research Lead chairs the Dyson Institute Research Committee and consults with the Registrar on ethical and compliance issues of wider concern to the Institute.

### **5.2.5 Deputy Director of Academics**

The Deputy Director of Academics is responsible to the Director for the management and academic leadership of the Institute, including taking forward research policies. Deputy Director of Academics provides senior academic leadership within the Institute, an important element of which is to promote the highest ethical standards in the design, conduct and reporting of research.

### **5.2.6 Staff and Students**

The Institute expects all those involved in research involving human participants, personal data and /or regulated material and procedures, whether as staff or students, to take personal responsibility for familiarising themselves with the policies, professional frameworks, standards, obligations, and relevant legislation that apply to their research, and for keeping such knowledge current.

Research supervisors should assist their students in becoming familiar with this and other Institute policies and procedures relevant to the conduct of the student's project, and provide, or direct the student to, specific advice, training, and guidance. It is the responsibility of both researcher and supervisor to have ethical approval for any research project.

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### 5.3 Confidentiality

All allegations of Misconduct will be investigated in confidence according to the process described in Section 5.4. All individuals involved in the investigation of an allegation including representatives, witnesses, those providing information, evidence and or advice have a duty to maintain confidentiality. However, in order for allegations to be investigated thoroughly, information and names of the reporter and the Subject may be disclosed in the investigation.

All decisions about disclosures, including the detail provided at each stage will be taken by the Registrar. They will have due regard to the rights and interests of the Reporter and the Subject, and the obligations placed on the Dyson Institute by any third party(ies) or the law.

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### 5.4 Process in the event of suspected Misconduct in Research

Allegations of potential Misconduct in Research or complaints should be made in writing accompanied by all supporting evidence which the investigator needs to consider and addressed in confidence to the Registrar via [dysoninstitute.regulation@dyson.com](mailto:dysoninstitute.regulation@dyson.com)).

If the Subject is a student at Dyson Institute, the case will be referred to the Academic Integrity Team to investigate the allegations in accordance with Academic Misconduct Investigation process provided in the Academic Integrity and Misconduct Policy of Dyson Institute.

If the subject is a member of staff at the Dyson Institute the case will be referred to the Academic Integrity Team to investigate the allegations in accordance with the process defined in this policy.

The Registrar may at their discretion consider the suspected misconduct and assess the seriousness of the issues, their credibility and feasibility confirming the allegation with credible sources.

The Registrar may elect, at their discretion, the Academic Misconduct Lead to investigate the allegations in accordance with this process.

The Registrar will acknowledge receipt of the allegations within 5 working days of receiving and will advise the reporter of the process being followed. The Registrar is able to notify the subject of the allegation if they consider it appropriate to do so.

The representative will also consider whether any third parties should be notified of the allegation by the Registrar/Director of Dyson Institute. If the allegation involves students or staff at another Institution, they may be notified accordingly.

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### 5.5 Preliminary Review

A representative from the Research Committee without any conflict of interest will conduct a preliminary review following the receipt of an allegation, this is to determine whether further investigation into the allegation is required. The review is to evaluate the facts and determine if the allegation of Misconduct in Research is any of the following;

- Frivolous
- Vexatious
- Repeated
- Mistaken

In order to do this, the representative must have a meeting with the Subject to discuss whether they accept or reject the misconduct allegation and for the Subject to provide an explanation on the allegation.

The representative needs to inform the Research Committee of their findings and whether they believe the matter is minor and as such should be handled informally. Or if the matter is major and further investigation is needed. It would be the responsibility of the Research Committee to approve the classification of the misconduct i.e., minor, or major and agree next steps based on the representative's report.

If the governance team receive a complaint which does not show misconduct the following process will be followed:

- Minor complaint: dealt with informally by the Research Officer/Research Lead.
- Student complaint: this will be dealt with through the Student Complaints Policy
- Staff complaints: this will be dealt with via the Director who may wish to involve HR if necessary.
- External complaints: this will be dealt with via the most suitable person listed above.

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## 5.6 Outcomes of the preliminary review

The below are the possible outcomes of the review:

- **Allegation is dismissed:** if no misconduct has been found, the allegations to the Subject will be dismissed.
- **Minor Misconduct:** if minor misconduct has been found and agreed by the Research Committee, the Subject will be provided with a mandatory training on research integrity.
- **Major Misconduct:** if major misconduct has been found, the representative will move to section 5.6 of this policy which is the Investigation.

Once the Research Committee has approved the next steps, the representative must inform the Subject and the Academic Governance and Research Officer of the decision should the Committee determine there is no need for further investigation.

Where necessary a Completion of Procedures letter will be provided and if the Subject remains dissatisfied, they may submit their complaint to the Office of the Independent Adjudicator for Higher Education (OIA). This must be submitted within 12 months of the date the letter was received.

If the Subject wishes to appeal the decision made by the Research Committee, please see the section 5.10 of this policy.

The representative will provide the Reporter with a written acknowledgement summarising the reasons the decision was made during the preliminary review. If the Subject was notified, they would also be provided with this acknowledgement.

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## 5.7 Legal and Regulatory Bodies

In the event that the nature of the allegation is such the Director considers it necessary to notify legal or regulatory authorities.

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## 5.8 Investigation

If the representative determines there is a case that requires further investigation, it would be referred to the Ethics Committee will convene to enquire into the allegations. The panel must have no conflict of interest in the case, be unbiased and have appropriate knowledge of the situation. The panel will be charged with examining the facts of the allegations and the evidence to determine if an act of Misconduct has been committed, who is responsible and the seriousness of the misconduct and report this to Academic Board.

The Subject will be advised who the members of the panel are by the Academic Governance and Research Officer. The Subject would be given at least 10 working days' notice of the panel date.

The Subject must confirm their attendance to the panel 5 working days before the meeting. If three attempts have been made to the Subject to confirm their attendance but the Research Officer has not had a response, the panel will continue with the evidence provided.

If the Subject has indicated that they are attending but is prevented from doing so for a legitimate and evidencable reason, and the Subject advises the Research Officer within 24 hours of the meeting, it is possible for the meeting to be deferred to a later date.

If the Subject has indicated that they are attending but fails to attend and does not inform the Research Officer prior to the meeting, the meeting will go ahead and a decision on fact will be reached based on the information available to the panel at that time.

Depending on the circumstances the Research Officer may expedite the panel meeting with the Subject's permission to do so.

The panel will consist of the following people:

- Chair
- A member from the Research Committee
- A member from the Ethics Committee
- Registrar
- An external member defined by the Chair if required/case by case basis
- Senior Academic Integrity Officer
- Secretary

The panel may interview both Reporter, Subject and other individuals that could provide evidence to assist the panel to come to their decision. Any individual attending the meeting has the opportunity to be accompanied by someone from the list below as a supporter.

- Student Support Advisor (where appropriate)
- Senior Dyson member of staff
- Senior Operations Officer
- Head of Department at the Dyson Institute

The panel must be made aware of any supporters attending at least 2 working days prior to the panel meeting.

The Subject will be given the option to submit a written statement and additional evidence for the panel 5 working days prior to the meeting.

The Academic Governance and Research Officer will prepare a report including all evidence which was evaluated, interviews.

During the panel meeting the following will occur:

- Chair will communicate the reason for why the panel is being held and possible outcomes of the meeting.
- The Subject may be asked questions by panel members.
- The Subject will be given the opportunity to discuss their statement.

Should the panel not reach a decision, further meeting may be required which would be communicated to the Subject at the end of the panel meeting. The Academic Governance and Research Officer would contact the Subject with potential dates to be agreed.

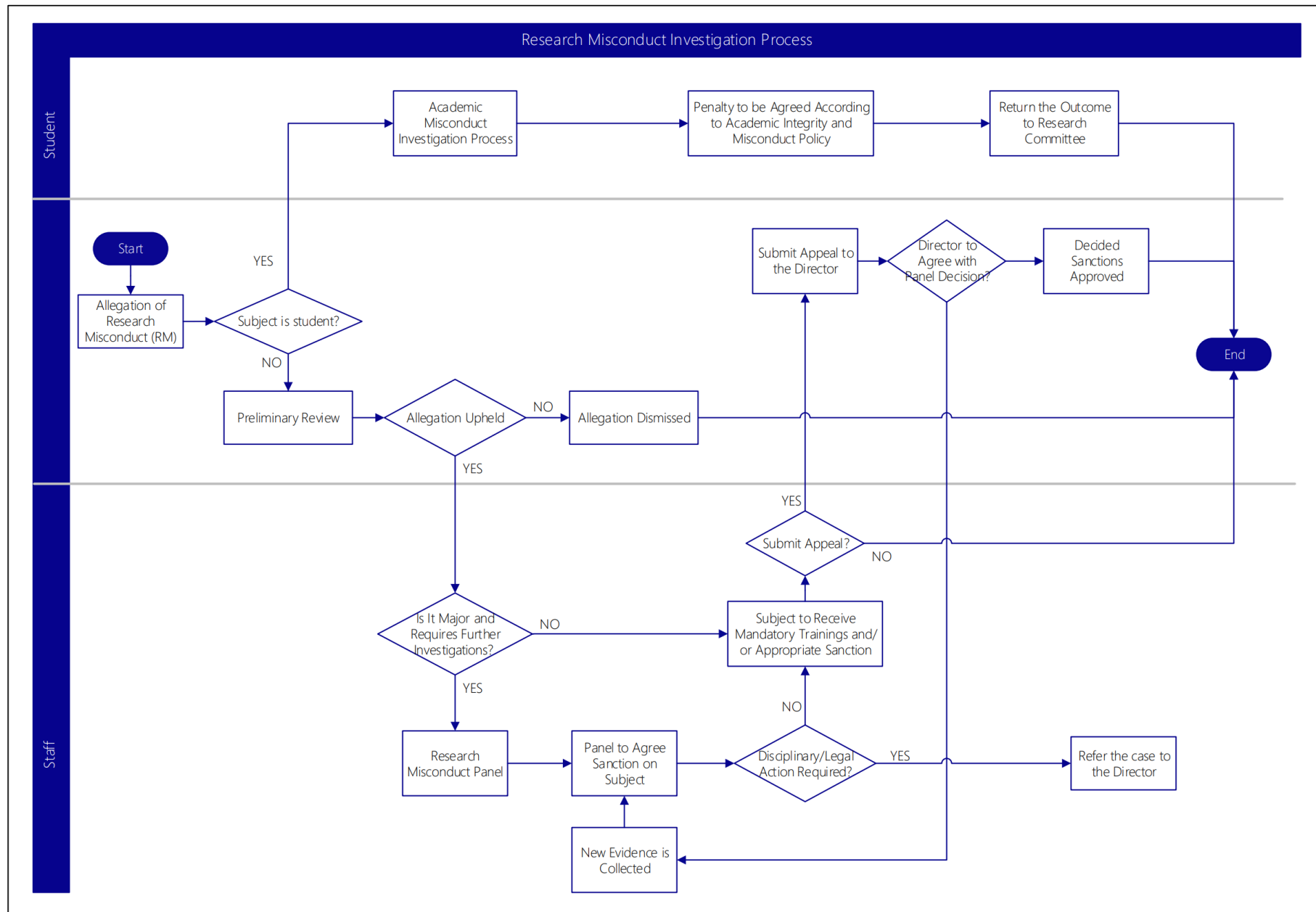
The panel will decide whether the allegation of misconduct is upheld in full, in part, or not upheld.

This decision will be communicated from the Chair of the panel to the Subject via email within 5 working days of the meeting.

If the panel decide the outcome is partly upheld recommendations would be provided to the Research Committee about any further actions that need to be taken.

Should the panel conclude the allegation of a major misconduct is upheld and requires disciplinary or legal actions, the Chair will refer the case to the Director of Dyson Institute.

That the investigation from the panel should be completed within 90 days of the first notification of the allegation to the representative. However, this timescale can be extended where required by the Institute.



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## 5.9 Sanctions

In case the Subject is a student at Dyson Institute and a research misconduct is upheld, possible sanctions are according to the penalties given for an academic misconduct in Dyson Institute's Academic Integrity and Misconduct Policy.

In case of a staff member committing a research misconduct, possible sanctions against the Subject may include:

- Retraction or correction of published work(s).
- Mandatory research integrity training
- Disciplinary actions.
- Legal action.

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## 5.10 Notifications

Once the investigation has been completed, if necessary, the Chair will contact other third parties who are deemed to have a legitimate interest in the outcome of the investigation.

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## 5.11 Procedural Reviews

Once the investigation has been completed the Research Committee will review internal management procedures for Research, training, mentoring and/or supervisory procedures if deemed necessary.

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## 5.12 Appeal

If there has been a finding of Misconduct in Research, the Subject will have the right to appeal the decision of the panel to the Director of the Institute within 10 working days of receiving the decision from the Chair. Grounds for appeal are limited to:

- Procedural irregularity in the conduct of this procedure
- New evidence becoming available which was not and could not have been made available to the panel when producing its report and/or the panel when arriving at their decision.
- That the panel's decision, including any steps to be implemented as a result of that decision is disproportionate in relation to the proven misconduct.

The Director will consider the appeal and may seek advice or additional information from the original panel members. In some exceptional circumstances the Director may decide the original panel or a new panel review some or all the allegations afresh. When seeking advice, the Director shall have due regard for any conflict of interest.

The Director may also agree with the decision made by the panel. The decision made by the Director will usually be sent to the Subject within 20 working days of receiving the appeal. However, this timeframe can be extended where reasonable. For example, when a new panel needs to be formed/reconvened.

The Subject will also receive a Completion of Procedures letter once the Director has made their decision. They may



submit their complaint to the Office of Independent Adjudicator for Higher Education (OIA) if they remain dissatisfied following the completion of the Institutes procedures. Submission to the OIA must be within 12 months of the date on the letter.

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### 5.13 Time limits

There is no time limits considered for research misconduct allegation investigation at Dyson institute. The Research Committee reserves the right to consider allegations regardless of the time event(s) complained about occurred prior to the allegations being received.

Where the investigations prove a commitment of misconduct in research after the work has been formally concluded or assessed, this may lead to the withdrawal of credit previously ratified by the board of examiners, the revocation of a conferred award for students. For staff, this may lead to retraction or correction of published work(s), or disciplinary or legal actions.

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### 5.14 Record Keeping

The Governance Team shall retain all records of any review, interviews in accordance with the Institutes Retention Schedule.

A quarterly report will be provided to the Academic Board providing an anonymised summary of all investigations conducted and the outcomes.

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### 5.15 Linked Policies

Please see below policies that should be read in conjunction to the Research Integrity and Ethical Code of Practice.

- Academic Regulations for Taught Programmes
- Ethics Policy
- Ethical Approval Process
- Academic Integrity and Misconduct Policy
- Student Complaints Policy
- Academic Appeals Policy

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## 6.0 References

The Concordat to Support Research Integrity, UK Research Integrity Office (UKRIO), <https://ukrio.org/research-integrity/the-concordat-to-support-research-integrity/>

UCL Code of Conduct for Research 2023, University College London.  
Research Integrity Policy and Code of Good Practice, Durham University.

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## Appendix 1

To implement the Concordat to support Research Integrity, Assessment framework and guidance on submissions (Hefce, Hefcw, SFC, DEL, 2011) provides a description for research to be used in the Research Excellence Framework, (Annex C of the guidance on submissions):

“It includes work of direct relevance to the needs of commerce, industry, culture, society, and to the public and voluntary sectors; scholarship; the invention and generation of ideas, images, performances, artefacts including design, where these lead to new or substantially improved insights, and the use of existing knowledge in experimental development to produce new or substantially improved materials, devices, products and processes, including design and construction. It excludes routine testing and routine analysis of materials, components and processes such as for the maintenance of national standards, as distinct from the development of new analytical techniques. It also excludes the development of teaching materials that do not embody original research. It includes research that is published, disseminated or made publicly available in the form of assessable research outputs, and confidential reports.”

This definition of research generally does not include:

- Routine audits or evaluations, such as standard teaching assessments.
- Development of teaching resources or materials without original research; syllabus updates or adjustments to course materials for curriculum compliance
- Documentary research using publicly available sources, such as historical or literary studies, which must comply with local laws and archival guidelines.
- Routine compliance reporting, standard data collection for institutional records, or non-research-related policy development
- Tasks such as faculty training, skills workshops, or teaching certifications,
- Any analysis of student performance or satisfaction conducted as part of routine quality control