
Ethics Policy

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Responsible: Research Lead

Dyson Technology Limited
Restricted

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1.0 Introduction

The Dyson Institute of Engineering and Technology understands the importance of maintaining public confidence in the ethical quality of research conducted by its staff and students.

This policy sets out general principles that show the Dyson Institute's approach to Ethics. This policy should be read in conjunction to the Research Integrity Policy which sets out the standard of research expected at the Institute by all those conducting research using the name of Dyson Institute.

It is important that researchers understand that ethical approval is needed before any research started.

1.1 Purpose

This policy provides guidance on ethical issues to all individuals conducting research. Please refer to Appendix 1 for the definition of research. The aim is to safeguard and protect the rights of the Dyson Institute researchers and all those participating.

The purpose of ethical approval within the Dyson Institute is to:

- Show the Institute's commitment to good ethical practice and embedding this culture into all research activity.
 - To support researchers, supervisors, and students undertaking research and assist to identify potential issues.
 - To safeguard researchers, supervisors, and students to be confident in their research activity and ethical propriety of their project once it has been approved by the Ethics Committee.
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1.2 Scope

This policy applies to:

All Dyson Institute students and staff

- All research being undertaken at Dyson Institute or using Dyson Institute name. This includes:
- All independent research undertaken by Dyson institute staff;
- All collaborative research;
- All undergraduate and postgraduate research projects;
- All research components as a part of coursework;
- All research works and projects at workplace.

The list is not exhaustive, if you have any questions contact the Research Lead.

This policy does not require ethical approval for reading of published literature or information in the public domain.

All research is required to be approved by the Ethics Committee. It is the responsibility of both the research supervisor and researcher to ensure research projects have ethical approval.

1.3 Responsibilities

The Dyson Institute requires all those conducting research consider all ethical implications of their project and their responsibilities to society, the environment, profession, and the Dyson Institute.

It is the responsibility of anyone conducting research to adhere to the highest standards of research integrity. All research must follow the Research Integrity Policy and Ethics Policy. It is the responsibility of the Research Lead to promote an environment which supports high ethical standards of research and encourages open and honest exchange of ideas.

If a Safeguarding concern has been raised or identified during the ethical process, this will take precedent and the Safeguarding team will be made aware of the concern.

2.0 Ethical Code of Practice

Dyson Institute obliges all research must comply with all relevant statutory and regulatory obligations, including laws such as 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) and Data Protection Bill (2018), as well as the 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.

2.1 Ethical Principles

In addition to adhering to legal and regulatory mandates, Dyson Institute's Ethics Policy establishes a set of ethical guidelines that outlines common professional standards and values within the higher education domain. All research endeavours must comply with this guideline, with a focus on key ethical principles regarding:

- 2.1.1 **Safeguarding Academic Freedom and Impartiality:** Ensuring that research activities uphold academic integrity and remain impartial in their pursuit of knowledge and truth.
- 2.1.2 **Avoidance of Harm:** Considering and prioritising the welfare and interests of all individuals engaged with the research, preventing harm to the society, the environment, cultural heritage, Dyson Institute, and other academic institutions.
- 2.1.3 **Informed Consent:** All human participants of the research must be informed of the details of the project without coercion and their informed consent, with the option to withdraw, must be obtained prior to starting the work.
- 2.1.4 **Use of Animals in Research:** Any use of animals in research must be justified, adhering with the principles of Replacement, Reduction, and Refinement (3Rs) wherever possible.
- 2.1.5 **Cultural Sensitivity:** Cultural differences should be responsibly considered in any research activities.
- 2.1.6 **Relevance and Utility of Knowledge:** Researchers should ensure that the output of their work has beneficial impact to the society and all stakeholders.
- 2.1.7 **Risk Management:** All researchers, when necessary, must consider health and safety issues and conduct risk assessments. Risk assessments should be reviewed along the project.
- 2.1.8 **Confidentiality and Anonymity:** The information of participants must be maintained confidential, and the anonymity of respondents must be ensured, unless they provided explicit consent for otherwise.

Requirement for Ethical Approval

2.1.9 **Dignity of Participants:** Researchers must ensure to uphold the dignity of participants throughout the project.

2.1.10 **Data:** All research projects must have a Data Management Plan and follow the relevant Dyson Institute Data Management Policies.

2.1.11 **Independence and Impartiality:** Maintaining independence and impartiality in research activities. Upholding research integrity by ensuring that research is sound, accountable, and supervised by qualified and experienced individuals.

2.1.12 **Conflict of Interest:** Declaring conflicts of interest and ensuring transparency in funding sources and any other potential conflicts.

2.1.13 **Publication and Dissemination:** Ensuring appropriate publication and dissemination of research results in accordance with relevant Institute research governance policies.

Every research activity 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, seek advice and approval from the Ethics Committee.

In order for both researchers and supervisors to be aligned with the Dyson Institute's Ethical principles, they should adhere to the following guidelines that have been created to ensure that research is conducted to the highest of standards.

- the research is designed so that it has a benefit to society either directly or improved knowledge.
- risk to participants, researchers, the Dyson Institute, and the wider Dyson business is minimised.
- all research is conducted honestly and transparently;
- the research is accurate and accessible;
- the safety and wellbeing of participants is at the forefront of all research activities;
- researchers must comply with all relevant statutory and regulatory obligations.

To ensure all ethical principles are adhered at the Dyson Institute, researchers must observe all the following:

- Research shall be reviewed, designed, and undertaken to ensure high level of integrity, value, and quality.
- Researchers shall ensure they are following ethical guidelines set out by the Dyson Institute.
- Research which involves human participants shall aim to avoid harm to the individuals. Risk assessments must be undertaken before research begins.
- Participants in the research must be made fully aware of the purpose, methods used, and intended use of the research before they are able to provide consent, and approval is given by the Ethics Committee.
- Participants must be given the option to withdraw from the research until it has been anonymised.
- Research including children, vulnerable adults/other groups must be given specific consideration including safeguarding where appropriate.
- Participants should not be subjected to distress, indignity, discomfort, or harm.

3.0 Requirement for Ethical Approval

All research requires ethical approval by the Ethics Committee.

Requirement for Ethical Approval

Every individual who is undertaking a research project must receive ethical approval by the Ethics Committee before any research is conducted. It is the responsibility of both researcher and supervisor to seek guidance via policies, processes, and procedures.

If significant changes have been made to the original approved ethics application, a new application must be submitted to the Ethics Committee.

Should research require data that has already been collected, this will require ethical approval due to its sensitive nature or if participants could be identified from the data.

It is vital that research does not begin until ethical review has taken place, and approval is given by the Ethics Committee.

3.1 Ethical issues regarding the Conduct of a Research Project

It is important that ethical considerations are taken throughout the entire research project cycle, up to and including the publication/dissemination of the research project.

All research must comply with Data Protection Legislation.

The storage and security of the information collated for the research is the responsibility of the Researcher. All the data collected must be stored securely. It is also the responsibility of the Researcher to follow GDPR using the [DPIA Guidance](#).

The Ethics Committee may monitor the progress of a research project to ensure compliance with the terms of ethical approval.

Failure to comply with the terms and conditions of the ethical approval for the research project will result in action being taken under the Institutes Research Integrity Policy.

3.2 Ethical issues relating to Dissemination of Results

Researchers need to ensure that the dissemination/publication of research follows good ethical practice. This could be done by seeking advice from the Research Lead and following appropriate Institute guidelines.

Researchers have the responsibility to present all data without deception or misrepresentation. Data and information must not knowingly be fabricated or manipulated in a way that could lead to distortion.

The work of other researchers and colleagues must be acknowledged with correct referencing and acknowledgement of sources.

3.3 Process for gaining ethical approval

In order to gain ethical approval for a research project, a Stage 1 Ethics Approval Form must be completed and submitted via email' dysoninstitute.regulation@dyson.com' for a reviewer assigned by the Ethics Committee to review

Appeals

and approve. Researchers must complete and attach the Data Management Plan and the Participation Information Sheet to the Stage 1 Ethics Approval Form they submit.

Possible outcomes of Stage 1 Ethical process:

- No ethical concern is declared in Stage 1 and is approved by the reviewer and the Research Lead is notified. Stage 2 is not required, and researcher is notified that they may start the project.
- The Ethics Committee has required additional information regarding the research project, ethics approval is not granted, and the researcher is notified that they must re-submit the Stage 1 Ethics Form with any required additional information.
- Ethical concern(s) is declared in the Stage 1 process and Stage 1 approval is granted by the Ethics Committee however, the researcher is notified that they must now complete and submit a Stage 2 Ethics Approval Form.

Based on the research project a Stage 2 Ethics Approval Form may also be required. This would be based on the risk check list in Stage 1.

Any forms that include concerns from risk category 3, will require to be reviewed by a panel consisting of at least 1 independent reviewer and either the Chair or Deputy Chair of the ethics committee.

3.4 Possible outcomes for Stage 2 Ethical process:

- Approved by the Ethics Committee; the researcher can begin their project.
- Ethics Committee recommend changes in the research design to be in accordance with the Ethical Principles; The researcher should re-submit Stage 2 including the amendments.
- The Ethics Committee rejected the research proposal based on the ethical concerns; If the researcher makes changes to their proposal, they can re-submit their ethics form through Stage 1.

For additional guidance on the ethical approval process please speak to the Research Lead.

4.0 Appeals

If at any stage during the ethics application your submission is rejected, the reasons shall be identified giving the researcher the opportunity to re-submit.

The applicant can appeal the decision made by the Ethics Committee via email to dysoninstitute.regulation@dyson.com.

The decisions of the Ethics Committee on matters regarding the appeal are final. However, if the researcher would like to appeal, the process is as follows:

- Researcher appeals decision from ethics committee.
- Research officer has a discussion with researcher to advise and go through reasons why the decision was made.
- If the researcher is happy with this and chooses to re-submit a new proposal.
- If the researcher is dissatisfied with the response, they can opt to go through stage 2 with further information.

If the researcher is still dissatisfied, they can email the Director of the Institute with their concerns and evidence of the process so far. The Director does their own investigation and can come to the following outcomes;

- Director agrees with the Ethics Committee decision;
- Director can ask the Ethics Committee to reconsider if new evidence has become known.

5.0 Raising Concerns & Non-Compliance

5.1 Raising Concerns

The Dyson Institute encourages Individuals to speak up if they have any ethical concerns about a research project. Individuals raising concern(s) regarding any research project will be protected.

Individuals can raise a concern by emailing the Research Officer directly, or if they wish to remain anonymous, they can use the portal.

5.2 Non – Compliance

The Dyson Institute expects that all research complies with the requirements and expectations of this and relevant policies. If a research study or researcher is suspected to be in breach of this policy the Institute may act and invoke other Institute policies. Including the following;

- Academic Regulations for Taught Programmes
- Research Integrity Policy

6.0 Prevent

6.1 Prevent Duty

All research taking place must adhere to the Prevent Duty linked [here](#). Researchers working on sensitive or extremism-related research must ensure they follow all Prevent Duty procedures.

7.0 Equality, Diversity & Inclusion

All research must have due regard to equality and inclusion, the Dyson Institute is a place where everyone should feel respected, valued, and supported. All research must conform to the Dyson Institute EDI policies and the Dyson Institute Community Charter.

Disciplinary Reasonable steps will be applied to establish the substance of the complaint or allegation against an individual before any steps and procedures are applied. Informal action will be considered where appropriate, to resolve the matter in first instance.

The disciplinary procedure may be implemented at any stage of the research to establish if there is any misconduct.

8.0 Investigatory interview

The individual will be given at least 5 working days' notice from the Research Officer via email of the requirement to attend the panel meeting. The email will provide information on the nature of the complaint, all relevant documentation that will be relied upon during the panel.

If no response is received after three attempts to contact the individual, the panel will go as planned based on the evidence collated.

The individual will also be asked to provide the panel with additional documentation, including witness statements no later than 2 working days before the hearing.

The panel will consist of;

Chair

2x members of Academic team

Member of the Governance team

Secretary

Supporter (if requested)

Students are able to ask for a supporter from the Institute team from the list below:

- Head of Smart Campus Services
- Senior PMO and Operations Manager
- Engineering Workplace Manager
- Supervisor/ Co-Supervisor

All members of the panel must not have a conflict of interest with the case.

Once all evidence has been presented to the panel, the panel will be given the opportunity to ask questions. The individual who is being investigated will have the opportunity to make a final statement. They will then be asked to leave while the panel deliberates and makes its decision.

The decision will be issued in writing, noting the right to appeal, within 5 working days of the hearing.

8.1 Sanctions

The panel will consider all documentation and the following sanctions may be applied;

- No offence has been conducted.

- A written warning – a letter to inform that a more serious sanction may be considered if there is no satisfactory improvement or change.
The panel suggests the following is completed:
 - The individual must complete mandatory ethical training;
 - Go through the ethical approval process if no approval had been given;
 - restart the ethical approval process if the application forms weren't completed properly and accurately.

- Final warning – a final written warning if there is no satisfactory improvement and repeated offences are observed.
The panel suggests the following:
 - The individual must complete mandatory ethical training;
 - Go through the ethical approval process if no approval had been given;
 - Restart the ethical approval process if the application forms weren't completed properly and accurately;
 - This project would be heavily monitored with consistent check-ins with the Ethics Committee.

- Legal or Disciplinary Action will be taken based on the following cases:
 - Major offence: if this has been committed, the Institute is able to sanction the researcher regardless of the fact a final warning letter has not been given.

 - An offence taken place following the final warning: should the researcher continue to commit offences legal or disciplinary action will be taken.

This could include in the researcher being removed from the project and the project be terminated.

In case any legal or disciplinary action is needed, the Chair will refer the case to the Director of Dyson Institute for further steps.

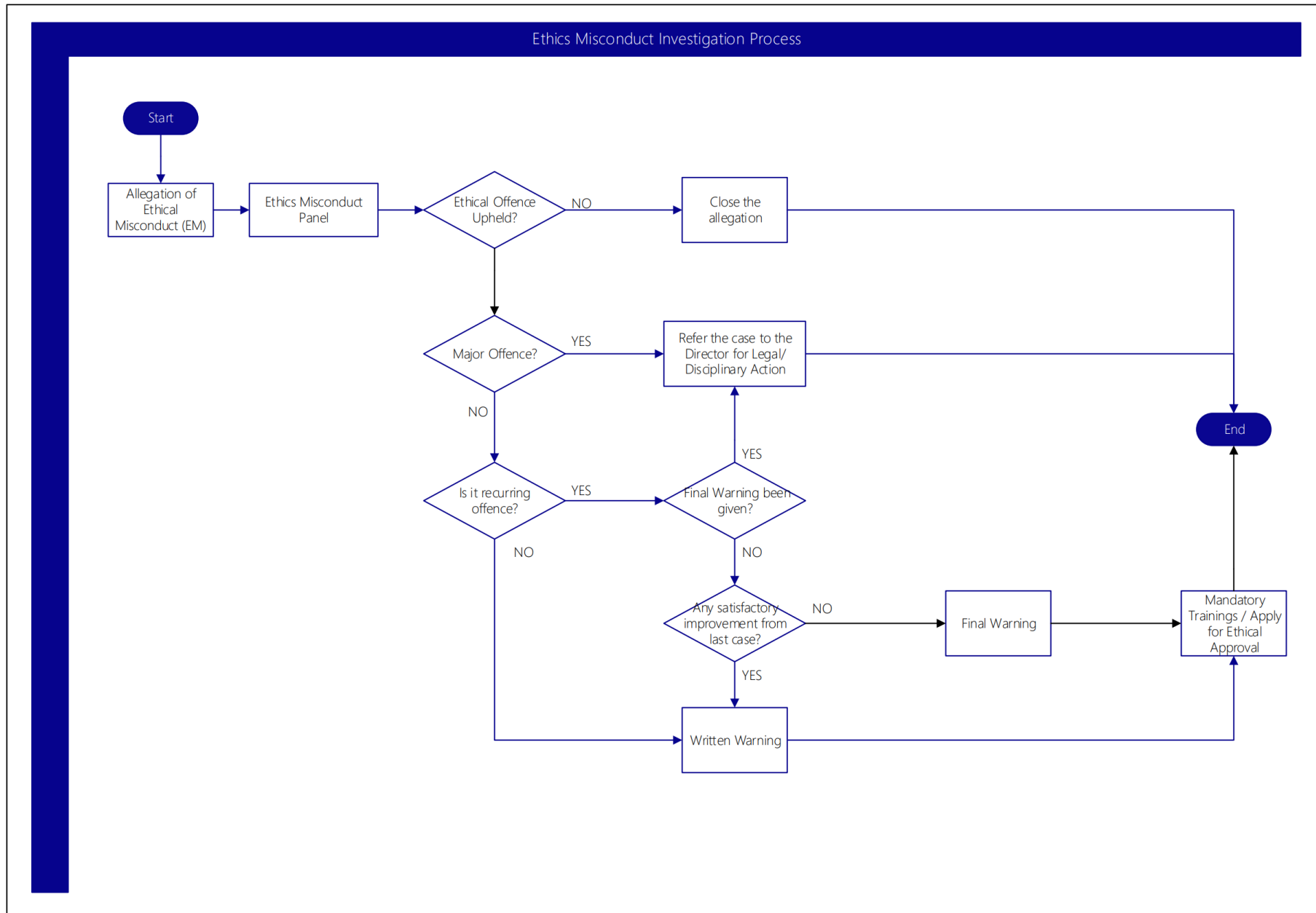
The individual will be informed of the outcome of the disciplinary hearing panel in writing via email within 5 w/ds of the panel.

8.2 Appeal Disciplinary hearing outcome

If the researcher wishes to appeal the decision of the disciplinary hearing this can be done via email within 5 working days of receiving the outcome of the disciplinary hearing panel to the Director of the Dyson Institute. The outcome of this will be at the discretion of the Director.

8.3 Time Limit

There is no time limit for considering the allegations against suspected ethical concerns. The Ethics Committee keeps the right to consider all allegations regardless of the time it occurred.



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