

Policy Statement Executive Owner Approval Route:	Our Research and Innovation – PVC, Research and Innovation – Executive Board
Authorised Co-Ordinator:	Director, Research and Innovation Services
Effective date:	13 th December 2023
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Approval History–

Version	Reason for review	Date
1.0	Creation of Policy Statement	25/1/22
2.0	Review of Policy Statement	13/12/23

Introduction

The **University Policy Framework** comprises 8 **Policy Statements** – Our Colleagues, Our Students, Our Education, Our Research and Innovation, Our Safety, Our Data, Our Partners and Reputation, Our Operations.

The 8 **Policy Statements** are high level documents which cover the University’s mission, aims and business. **Policy Statements** are aligned to the University Strategy.

The **Policy Framework** is detailed in the Procedure of Policies and Procedures (POPP). POPP provides direction on, and standards for, the development and review of University **Policy Statements, Procedures** and related documentation.

Procedures are ‘how to ...’ documents, each of which is owned by one **Policy Statement**. **Procedures** may also be associated with one or more other **Policy Statement(s)**. The Vice-Chancellor, as the principal Academic and Administrative Officer of the University, is accountable to Council for the good management of the University and for the matters set out in each **Policy Statement**. The Vice-Chancellor delegates responsibility for delivery to the Executive Owner of each **Policy Statement**.

This is the **Policy Statement** for: **Our Research and Innovation**.

1. Purpose and Scope

This Policy Statement:

- 1.1. Supports the University's overall mission, with particular emphasis on “to deliver social and economic impacts through research and innovation, together providing solutions to global challenges.”
- 1.2. Creates the conditions for success by supporting, enhancing, and maximising the impact of our research and innovation.
- 1.3. Ensures our research and innovation is undertaken following best cultural practice and the highest standards of integrity, and is conducted in full compliance with our external, funder, and regulatory obligations.
- 1.4. Applies to all current researchers (including students) and collaborators. It also applies in some instances to previous researchers and collaborators.

2. Objectives

At the University of Surrey:

- 2.1. We will enhance our research excellence and sustainably grow our research scale through resourcing balanced against other priorities and concentration of activity.
- 2.2. We will ensure our research and teaching produce synergy, complementarity, and efficiency for the benefit of our researchers, teachers, and students.
- 2.3. We will contribute greater societal benefit by deepening the culture of innovation, and enhancing our impact, knowledge exchange, and community engagement.
- 2.4. We will make research support “researcher-centric” and continue to enhance our research infrastructure with a focus on data and compute.
- 2.5. We will enhance Surrey as a place to start and grow a career in research and innovation by creating a fulfilling environment where wellbeing is championed, and people can achieve their potential.

3. Delivery Parameters

The Research and Innovation team will work with colleagues to deliver, support delivery, or oversee a range of requirements for high performance in research and innovation. The Research and Innovation team will:

- 3.1. **Promote high standards of research excellence** – We will develop or advocate for excellence in training, appraisal, promotion, and practice, for all researchers and collaborators at all career stages.
- 3.2. **Identify and support resourcing** – We will ensure that resourcing is commensurate with Surrey’s research and innovation objectives, balanced between business-as-usual and strategic investment and between local and institution-wide investment.
- 3.3. **Support postgraduate researcher and researcher training** – We will ensure that all researchers have appropriate training in research culture, healthy and safe practice, and integrity.
- 3.4. **Promote Sustainability, Equality, Diversity and Inclusion** – We will ensure that Surrey’s practices and actions in research and innovation match or exceed our positive intentions.
- 3.5. **Support the research and innovation lifecycle** – From conception to impact, we will foster researcher-centric collaborative, cohesive cross-institution systems and processes, including identifying funding opportunities, sourcing funding, managing projects, promoting outcomes, identify and supporting innovation and knowledge exchange activities and outcomes, and capturing and enhancing impact.
- 3.6. **Identify and oversee external funder, regulatory and legislative requirements** – We will identify all applicable laws and regulations and ensure that appropriate and proportionate controls are in place to ensure compliance for research and innovation activities: including, but not limited to, funder reporting, compliance with the National Security and Investment Act (2021), Export Control, Trusted Research, data governance and security, all Research Concordats, ethical use of human tissues, and ethical use of human and animal subjects in research.

4. Responsibilities (ownership)

4.1. Council

- Ultimate responsibility for the research and innovation performance of the University rests with the University’s governing body, the Council.
- Council set and monitor progress against the University’s Strategy.
- The Council have delegated to the Vice Chancellor the executive accountability for health and safety; and promoting a culture of the highest standards in research and innovation.

4.2. Senate

- Subject to the control and approval of the Council, oversees the Academic Endeavour of the University.

4.3. Vice-Chancellor

- Overall accountability for the University’s performance.

4.4. Policy Owner – Pro-Vice-Chancellor, Research & Innovation

- Delegated accountability from the Vice-Chancellor for the University’s overall research and innovation performance, including strategy.
- Accountable for defining Procedures and mechanisms – including systems and processes – for achieving the performance indicators.
- Accountable for defining the Procedures and mechanisms – including systems and processes – for achieving the performance indicators.
- Responsible for promoting a culture of the highest standards in research and innovation.

4.5. Executive Board

- Collectively responsible for achievement of key performance targets.
- Collectively responsible for resolving risks and addressing issues impacting the targets.
- Collectively responsible for evaluating resource allocation requests in the context of the wider planning and prioritisation processes.
- Individually accountable for applying this Policy framework within their portfolios.

4.6. **University Research and Innovation Committee**

- Subject to the control and oversight of Senate, oversees research & innovation strategies and recommends for approval, in accordance with the Procedure of Policies and Procedures, Procedures by Senate in relation to research and innovation integrity and governance.
- Monitors, reviews and advises Senate on the University's performance against its research and innovation aims and objectives.
- Considers external and internal factors that will enhance or limit the University's ability to deliver high quality and impactful research and innovation and makes recommendations to Senate.
- Oversees the arrangements that are in place, including the operation of the Research Integrity and Governance Committee and its subcommittees and working groups, to ensure that research and innovation integrity and governance is compliant with all applicable laws, regulations and funder requirements.
- Recommends to Senate for approval the documentation within the Quality Framework that pertains to research and innovation and oversees progress and delivery within the scope of the Quality Framework.

4.7. **Pro-Vice-Chancellors and Executive Deans**

- Delegated accountability from the Vice-Chancellor for the Faculty's contribution to overall research and innovation performance, including Faculty strategy.
- Accountable for defining or implementing Procedures and mechanisms – including systems and processes – for achieving the Faculty's contribution to performance indicators within allocated budget.

4.8. **Associate Deans, Research and Innovation**

- Responsible for the Faculty strategy for research and innovation.
- Contribute to and represent the Faculty within the development and implementation of the University strategy for research and innovation.

4.9. **Associate Deans, Doctoral College**

- Responsible for the recruitment, progression and performance of postgraduate researchers in their Faculty, including meeting Faculty targets within allocated budget.

4.10. **Heads of Schools and Departments**

- Responsible for the research and innovation performance of their school or department, meeting local targets, and capitalising on opportunities in research and innovation.
- Responsible for implementing Procedures under this Policy and all requirements of the Quality Framework, including mitigating local risks, resolving issues, or escalating them as appropriate.

4.11. **Individuals (academic staff, professional staff, and postgraduate researchers)**

- Responsible for personal research and innovation performance, including meeting personal targets, and collegial contribution to the research and innovation performance of their school or department.
- Responsible for adhering to all Procedures under this Policy and addressing or escalating risks, issues and opportunities in research and innovation.

5. **Implementation and Communication**

5.1. This Policy will be communicated to all staff, students and external partners through the

University's external website, internal intranet, and periodic direct communications.

- 5.2. Executive Board will review on an annual basis the Policy objectives and requirements, including KPIs and lead indicators.
- 5.3. Supporting Policies and Procedures will be developed and updated as required and approved by URIC and/or the Executive Board.

6. Exceptions

- 6.1. There are no exceptions.