Policy Statement Executive Owner Approval Route:	Our Research and Innovation - PVC, Research and Innovation - Executive Board
Authorised Co-ordinator:	Director of Research, Innovation and Impact
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Approval History

Version	Reason for review	Date
1.0	Creation of Policy statement	25/01/2022
2.0	Review of Policy statement	13/12/2023
3.0	Significant Review of Policy Statement	21/01/2025

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

The University of Surrey is committed to maintaining high standards of research and innovation. A commitment to good research is at the heart of all we do. High standards of research integrity underpin the quality of the research outcomes generated, as well as decisions made in the light of those outcomes and ultimately, public trust in research.

1.1. This policy is one way in which we support individuals to take responsibility for good research and innovation practice and contribute towards a positive research and innovation environment. Although significantly revised in format, this policy is rooted in the principles, commitments and responsibilities of the now retired Code on Good Research Practice.

1.2. This policy applies to:
   - All colleagues, students, contractors, visitors or any other person directly involved in the research and innovation activities of the University of Surrey.

1.3. Failure to comply with the policy may lead to;
   - Reputational damage
   - Legal and financial consequences
   - Referral for action under the Code of Practice on Handling Allegations of Research Misconduct
   - Disciplinary action being taken against a member of staff.

2. Objectives
   - Ensure the University of Surrey has a vibrant, open, inclusive research environment.
   - Conduct research to the highest levels of integrity.
   - Undertake research and innovation activities that comply with all legal and ethics requirements and any other guidelines that apply. Including but not limited to; ethical review, regulatory requirements or contractual requirements.
   - Where research and innovation activities are being conducted or collaborated with countries outside of the UK, the research and innovation activity should comply with requirements that exist in the UK and in the country the research is conducted.

3. Delivery Parameters

3.1. Research and innovation activities must comply with required practice in relation to ethics, health and safety, intellectual property rights, consultancy, and codes of practice for research, as detailed below:

- Ethics for Teaching and Research Policy
- Ethical Conduct Procedure
- Research Data Management Procedure
- Open Access to Research Outputs Procedure
- Copyright Procedure
- Code of Practice on Handling Allegations of Research Misconduct
- Intellectual Property code (including patents)
- Export Controls policy
- Our Safety Policy
- Biosafety and Biosecurity Procedure
- Public Interest Disclosure (Whistleblowing) Procedure
- Financial Regulations
- Records Management Procedure
- Collaborating with Sensitive Jurisdictions Procedure

3.2. Where appropriate, and in accordance with the codes listed, researchers should conduct a risk assessment of the planned study to identify any ethical issues and legal requirements. Potential risks to the University, the research or the health, safety and wellbeing of the researchers and participants should also be identified at this stage. Researchers should report any risks to their manager or other appropriate person within the University and take action to minimise them.

3.3. Research and innovation activities must have sufficient arrangements for insurance and indemnity prior to the research being conducted.

3.4. The University of Surrey is committed to providing the widest possible access to the research outputs produced by its researchers. Such works should be openly available both to the scholarly community and the public, both in line with funders' requirements and having addressed ethical or commercial considerations. In supporting Open Access (OA) to its research outputs, the University not only contributes to wider scholarly, societal and economic benefits but also serves the interests of its researchers, through curating, disseminating and promoting their research for the widest possible impact.

3.5. The University of Surrey is committed to openness in research, as articulated in our Open Research Position Statement, which serves as an overarching framework for the current procedure. We support the role of open research data in advancing scholarship, demonstrating academic integrity, and increasing transparency in research. The University is committed to fulfilling compliance requirements around research data from third parties such as funders, publishers, government agencies, and external sponsors

3.6. Research outputs (including publications) must report research and research findings accurately.

3.7. Research Outputs must contain acknowledgement to all who have made a significant

contribution to the relevant research.

- Any person who has participated in a substantial way in conceiving, executing or interpreting a significant part of the relevant research should be given the opportunity to be included as an author of a publication derived from that research, this could include acknowledging technical staff.
- Any person who has not participated in a substantial way in conceiving, executing or interpreting a significant part of the relevant research should not be included as an author of a publication derived from that research.
- The University endorses the use of CREDIT in authorship.

3.8. To maximise impact and relevance of research, in most cases it is appropriate to seek advice from the Technology Transfer Office (TTO) to identify intellectual property protection opportunities that may be vital to translating our innovations via commercial pathways. Once disclosed, intellectual property can rarely be protected for use by industry for the benefit of society.

3.9. Conflicts of Interest

A researcher must make full disclosure of any potential or actual conflict of interest in research. Conflict of interest includes, but is not restricted to, personal or close family affiliation to, or financial involvement with, any organisation sponsoring or providing financial support for a project undertaken by a researcher.
Disclosure of a potential conflict of interest in research must be made as soon as is possible, and via the completion of the Declaration of Interests Form as described in the Ethical Conduct Policy. Disclosure of a potential conflict of interest in research must be made clear to ethics committees, research participants, publications, reports, funding bodies, and regulators, where applicable.

3.10.   Purchasing and Expenditure
   3.10.1.   Purchasing and expenditure of funds must take place in accordance with the terms and conditions of any grant or contract held for the research and the University's Financial Regulations. Advice on compliance with the Financial Regulations should be sought from the Director of Finance or the Head of Procurement and Contracts as appropriate.

3.11.   Monitoring and Audit
   3.11.1. Research projects must comply with all applicable monitoring and audit requirements. Projects should be monitored and audited to ensure they are being carried out in accordance with good practice, legal and ethical requirements and any other guidelines.
   3.11.2. Any requirements for monitoring and audit should be considered and identified at an early stage of proposal development.
   3.11.3. Researchers must co-operate with any monitoring and audit undertaken by, or on behalf of, an applicable body. If staff become aware of the need to monitor or audit a project where none is planned, they should report the need to an appropriate person. Researchers should co-operate with the outcomes of any monitoring or audit of their research projects.

3.12.   Research Integrity
   - The University of Surrey is a signatory to the Concordat to Support Research Integrity and uses the description of research integrity as outlined within that document with core principles of honesty, rigour, transparency and open communication, care and respect, and accountability.
   3.12.1.   Staff, postgraduate research students and all others conducting research under the auspices of the University are required to report misconduct in research where they have good reason to believe it is occurring, in accordance with the Code of Practice on Handling Allegations of Research Misconduct.

3.12.2.	Research can fall short in terms of its integrity for a number of reasons, many of which do not reflect the intent of researchers.

- Honest errors such as miscalculation, mismeasurement or mislabelling.
- Poor research practices such as poor research design, weak procedures or analysis, inadequate documentation or record-keeping, and insufficient attention to quality assurance; and questionable research practices such as selective publication of results or hypothesising after the results are known; both of which may happen inadvertently through lack of training or knowledge of the consequences for the integrity of the research.

3.12.3.	Intentional research misconduct (as defined in the Concordat, see Annex 1 for full definitions): fabrication; falsification; plagiarism; failure to meet legal, ethical and professional obligations; misrepresentation; improper dealing with allegations of misconduct.

## 4.	Responsibilities (ownership)

4.1.	Senate

- Responsible for oversight of research and innovation, including but not limited to:
  (i) ethical conduct in research and innovation;
  (ii) intellectual property arising from research.

4.2.	Vice Chancellor

- Overall accountability for the University's performance and compliance.

4.3.	Executive Board

- Responsible for resolving escalating risks and issues from the University Research and Innovation Committee (URIC)

4.4.	University Research and Innovation Committee (URIC)

- Clear policies and procedure to support good research practice, and a robust system for managing the implementation of these policies
- Arrangements for managing research integrity issues, and handling allegations of research misconduct
- Clear ethics processes

4.5.	Research Integrity and Governance Committee (RIGC)

- Delivery of process that align to university policies and procedures Responsibility 1
- Development of training, learning to ensure those engaged in research and innovation understand ethics, integrity and good research practice.

4.6.	All students, staff and personnel involved in Research and Innovation activities

- Abide by the principles set out in the Concordat to Support Research Integrity
- Observe the highest standards of integrity, honesty and professionalism and embed good practice in every aspect of their work. This includes study design and record-keeping, the interpretation and presentation of research results, contributions to the peer review process, the training of visiting researchers and new staff and students as well as the undertaking of the research itself. That is, individual actions must comply with the principles of honesty, rigour, transparency and open communication, care and respect, and accountability for a research environment in which individuals and organisations are empowered and enabled to own the research process.

- Adhere to the highest level of research ethics, in line with requirements set out by national and international regulatory bodies and legislation, professional and regulatory research guidance and research ethics frameworks issued in appropriate areas. This includes considering ethics issues throughout the lifecycle of a research project from planning to dissemination and archiving and/or future use, and promoting a culture of ethical reflection, debate and mutual learning.
- Be aware of relevant University of Surrey policies and procedures and know how to respond adequately and (where appropriate) report concerns about poor research practice or research misconduct.
- Raise any concerns that they have regarding research integrity.

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. The Executive Board will review on an annual basis the Policy objectives and requirements, including KPIs and lead indicators.

5.3. Supporting documentation will be developed and updated as required and approved through the relevant channels.

5.4. All supporting documentation will be reviewed by the Director of Research, Innovation and Impact to ensure alignment with this Policy.

5.5. All procedures and other relevant supporting documents will be discussed at URIC and or RIGC.

6. Exceptions

6.1. None.