

UNIVERSITY OF ABERDEEN

RESPONSIBLE RESEARCH, INNOVATION, KNOWLEDGE EXCHANGE AND ENGAGEMENT

STATEMENT OF COMPLIANCE

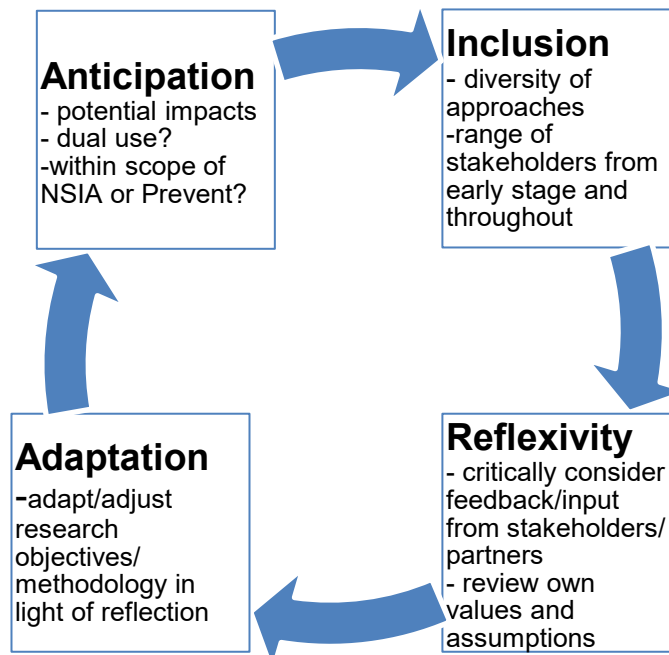
Our Strategic Plan, [Aberdeen 2040](#), sets out our commitment to generate new knowledge, to connect and combine ideas, and addressing economic and societal issues with ambition and imagination. This guidance describes the principles around responsible research, innovation, knowledge exchange and engagement and sets out the steps researchers should take to undertake research, knowledge exchange, innovate and engage responsibly, in the public interest and in compliance with statutory and regulatory requirements.

Responsible Innovation

Responsible innovation is a process that seeks to promote creativity and opportunities for science and innovation that are socially desirable and undertaken in the public interest. It covers research, innovation, knowledge exchange and engagement as well as evaluation. The process requires researchers to reflect on the longer term impacts of their work and to assess the wider technological, societal and policy impacts their work may have.

Responsible innovation recognises that not all potential impacts, or dual use, can be predicted and that a degree of uncertainty will remain around current and future uses of the knowledge we generate. A number of frameworks are available to help researchers explore and understand potential impacts, and to adapt their research, knowledge exchange practice and methodology to avoid adverse effects that can reasonably be predicted. The University of Aberdeen does not support research and knowledge exchange that knowingly endangers life, the environment or our national security, or research that is likely to do so.

We encourage early engagement with diverse stakeholders across the wider innovation ecosystem to explore potential impacts, mitigate potential adverse impacts and adapt research practice and methodology to avoid adverse impacts



'Responsible innovation requires a capacity to change shape or direction in response to stakeholder and public values and changing circumstances'

Stilgoe et al, [Developing a framework for responsible innovation](#), Research Policy 42 (2013) 1568-1580; <https://doi.org/10.1016/j.respol.2013.05.008>

Statutory Requirements

There are a number of statutory requirements with which researchers must comply if their work falls within the scope of the relevant legislation:

Trusted Research

Trusted research is a cross-government, cross research and innovation sector term for protecting the UK's intellectual property, sensitive research, people and infrastructure from potential theft, misuse and exploitation, including as a result of hostile activity by state and other actors.

The [National Security and Investment Act 2021](#) (NSIA) came into force in January 2022 and introduced new powers for the government to scrutinise and intervene in acquisitions/research/commercial activities that harm the UK's national interest and security. It creates a requirement for institutions to notify the government about transfer of research outcomes, designs, processes, software formulae, algorithm, databases, intellectual property etc in specific areas of the economy.

The government may impose certain conditions on acquisitions (including knowledge transfer) including, in rare cases, to unwind or block a transaction.

More information on Trusted Research and the NSIA is [here](#) and in Sections 4.1.2 and 4.1.3 of the [Research Governance Handbook](#). A checklist to explore whether your research falls within the scope of the NSIA is [here](#).

For further support the relevant R&I Research Development Executive should be the first point of contact.

Export Controls

The Government applies [export control measures](#) to the export of goods, software or technology (including data, information and technical assistance). There are two main categories of exports where controls apply:

- Military use – covering goods, software and technology that are specially designed or modified for military use
- [Dual use and end-use](#) covering research outcomes and potential applications that are not military but have enhanced capabilities that are useful in chemical, biological, radiological, nuclear or conventional weapons

Where research or education with international partners involves outcomes or potential applications that fall into either of those categories, an export control licence may be required. There are certain exemptions to when export controls apply to academic research, including where outcomes are already in the public domain or where the work meets the definition of basic scientific research. The Government have published [Guidance](#) on how export controls apply to academic research (including Masters and PhD dissertations).

The University is registered with the Higher Education Export Control Association (HEECA). In depth HEECA training on EC compliance is available to all University of Aberdeen staff; to access this please contact Dr Juliette Snow, Research Development Manager: j.e.snow@abdn.ac.uk.

Please note that it is a criminal offence to export controlled items without the correct licence. [Penalties](#) vary depending on the nature of the offence.

For support with export controls, the relevant R&I Research Development Executive should be the first point of contact.

Prevent Duty

UK higher education institutions have a statutory duty under the terms of the [Counter-Terrorism and Security Act 2015](#) [Counter Terrorism and Security Act 2015] 'to have due regard to the need to prevent people from being drawn into terrorism', also known as the [Prevent Duty](#).

We have issued [guidance](#) for researchers to enable them to undertake research into extremism related subjects lawfully. Further information is available under section 3.8 of the [Research Governance Handbook](#).

If you have any questions about Responsible Innovation or any of the statutory requirements, please contact [\[contact\]](#)

Further Resources

[EPSRC Framework for Responsible innovation](#) (AREA Framework), EPSRC is promoting its AREA framework as a tool to provide researchers with a mechanism for how they can undertake a responsible innovation assessment

[UKRI Responsible Innovation Resources](#)

[RRI Tools](#) is a European project which has produced a useful responsible innovation toolkit including a document "[A practical guide to Responsible Research and Innovation](#)".

December 2023

Applies to	All staff
Valid from date	13/12/2023
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Version number	Instruction	Author	Date
0.1	For discussion	R&I – MB/JES	27/10/2023
0.2	For discussion at URC	R&I – MB/JES	13/12/2023
0.3	For comment	R&I – MB/JES	18/01/2024