

Post Details			
<b>Faculty/Administrative/Service Department</b>	Research, Innovation and Impact (RII)		
<b>Job Title</b>	Senior Assurance Officer (Trusted Research and Due Diligence)		
<b>Job Family</b>	Professional Services	<b>Job Level</b>	4
<b>Responsible to</b>	Head of Assurance (RII)		
<b>Responsible for (Staff)</b>	None		

**Job Purpose Statement**

The post holder is responsible for enabling cross-University compliance with governance policies and regulatory requirements, developing, and delivering a strategic and operational service to the University to ensure appropriate standards of trusted research and due diligence.

They will work across academic disciplines and professional services, leading the institutional response as appropriate.

A key aspect of the role will be to ensure all collaborations and partnerships are reviewed and monitored, proportionate to the level of risk, with appropriate mitigations identified and implemented where required. As part of the framework, the post holder will develop existing policies, procedures, and databases to ensure consistent and effective management and oversight of our partnerships, liaising with other key partnership teams across Professional Services to ensure wider institutional impacts are considered and due diligence processes are aligned.

The postholder will keep abreast of the UK's changing regulatory environment, as well as funders' terms and conditions, working closely with teams across Research, Innovation, and Impact, and will ensure appropriate due diligence checks are fully integrated into core processes across the project lifecycle, minimising delays and administrative burden and ensuring checks and measures are commensurate with the level of risk. They will contribute to, promote, or develop appropriate training and guidance for the research and wider University community to ensure responsibilities are understood and processes fully operationalised.

**Key Responsibilities** This document is not designed to be a list of all tasks undertaken but an outline record of the main responsibilities (5 to 8 maximum)

1. Maintain a proactive oversight of national policy initiatives, regulations, legislation, concordats and sector-wide best practice related to trusted research and due diligence. Lead on the assessment of the implications for the University in terms of existing policies and processes and assess the risk of current and prospective activities.
2. Lead on the development, updating and provision of institutional external reporting requirements.
3. Inform the development of the University's Trusted Research Agenda, ensuring robust policies and processes are in place for research compliance issues such as the National Securities and Investment Act 2021 and the emerging Foreign Influence Registration Scheme.
4. Work closely with researchers, professional services and internal Committees to carry out regular reviews of on-going collaborations and associated mitigation plans, project changes and cultural shifts to identify, understand and assess risk.
5. Work collaboratively with RII Contracts team to offer expert views on the demands and application of Export Control legislation and engagement with the Export Control Joint Unit (ECJU).
6. Lead delivery of expert advice, guidance, training and support to researchers, management and professional services staff, being the first point of contact in relation to risk and regulatory issues such as the Trusted Research agenda, the National Security and Investment Act 2021 and other applicable legislation and best practice frameworks. Externally be the key point of contact for engaging with bodies such as RCAT.
7. Provide internal and external reports on relevant activity and challenges and recommend changes in existing University policy, processes, systems and procedures. Work with the Head of Assurance to drive the implementation of agreed changes. Lead the provision of reports,

analysis to the relevant University Committee including Partnership and Reputation Committee and University Research and Innovation Committee (URIC).

8. Assist with audits undertaken by any applicable regulatory body and lead on internal compliance audits as required
9. Build effective and collaborative working relationships with academic Schools and other University Services to help support compliance and maintain an awareness of areas of potential or real high-risk activities for monitoring and mitigation purposes, through development of an auditable repository.
10. Champion key initiatives, engaging with stakeholders across the organisation, to help build a culture of responsible national agendas regarding Trusted Research and due diligence.

**N.B. The above list is not exhaustive.**

**All staff are expected to:**

- Positively support equality of opportunity and equity of treatment to colleagues and students in accordance with the University of Surrey Equal Opportunities Policy.
- Work to achieve the aims of our Environmental Policy and promote awareness to colleagues and students.
- Follow University/departmental policies and working practices in ensuring that no breaches of information security result from their actions.
- Ensure they are aware of and abide by all relevant University Regulations and Policies relevant to the role.
- Undertake such other duties within the scope of the post as may be requested by your Manager.
- Work supportively with colleagues, operating in a collegiate manner at all times.

**Help maintain a safe working environment by:**

- Attending training in Health and Safety requirements as necessary, both on appointment and as changes in duties and techniques demand.
- Following local codes of safe working practices and the University of Surrey Health and Safety Policy.

**Elements of the Role**

This section outlines some of the key elements of the role, which allow this role to be evaluated within the University's structure. It provides an overview of what is expected from the post holder in the day-to-day operation of the role.

**Planning and Organising**

- The post holder is expected to manage a diverse workload with relative autonomy.
- The post holder will deal with planned and unplanned tasks on a daily basis and be expected to prioritise tasks, manage conflicting demands, and the varying elements of the role without reference to line manager.
- The post holder will work with the Head of Assurance to define the timescales, priorities and deliverables within the role, ensuring any external deadlines are accounted for.
- Strong planning skills are needed to ensure that short terms deliverables feed into the long term aspirations of the University, reporting on progress against project plans is required for various stakeholders

**Problem Solving and Decision Making**

- The post holder will have the freedom to take a pro-active approach to problem solving and have the delegated authority to resolve problems using their initiative, experience and judgement.
- The post holder will approach projects with a solution focused problem solving skills
- The post holder is required at times to apply analytical, interpretive and constructive thinking and a high degree of evaluation.
- The post holder will require the ability to research, interpret detailed or complex guidelines, policies and decide how best to distil and communicate this to a variety of audiences.
- The post holder will escalate decisions to the Head of Assurance where they fall outside of the experience of the individual.

**Continuous Improvement.**

- The post holder will show initiative and resourcefulness in recommending improvements in processes, recommendations for process improvement once developed, would be discussed with the Head of Operations for feedback.
- They will be expected to be aware of changes in the research environment and to react accordingly, proposing creative solutions which provide the best fit for the university.
- The post holder will take a pro-active approach to inputting to policy consultations, discussions of strategic importance across the sector.

**Accountability**

- The post holder is required to work proactively and without supervision and is accountable to The Head of Assurance.

**Dimensions of the role.**

- While the post holder is likely to have direct contact with some academic staff during any given period through specific projects, they may also have indirect contact with a wider academic audience through their work e.g. the development of best practice, implementing new processes or activities.
- The role carries with it significant responsibility for reputation with external stakeholders and future relationships/partnerships of the University.
- No staff currently report to the role, and there is currently no budgetary responsibility.

**Supplementary Information**

- We welcome applications from outside the University sector, where the candidate can demonstrate the skills described below and an eagerness to learn and understand more about research with the University sector.

**Person Specification** This section describes the sum total of knowledge, experience & competence required by the post holder that is necessary for standard acceptable performance in carrying out this role.

**Qualifications and Professional Memberships**

Degree, HND or NVQ 4 qualified, plus a number of year's practical relevant experience in similar or related roles.

Or

Significant vocational experience demonstrating development through involvement in a series of progressively more demanding relevant work/ roles, and the acquisition of appropriate professional or specialist knowledge.

E

**Technical Competencies (Experience and Knowledge)** This section contains the level of competency required to carry out the role (please refer to the Competency Framework for clarification where needed and the Job Matching Guidance).

**Essential / Desirable**

**Level 1-3**

Extensive experience of working within a regulated environment, managing policies, risk and compliance documentation

E

3

Proficiency in IT systems, including Microsoft Office

E

3

Excellent written and verbal communication skills

E

2

Provision of an effective expert service, guidance, strategic thinking and collaborative activities within a research and innovation environment

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2

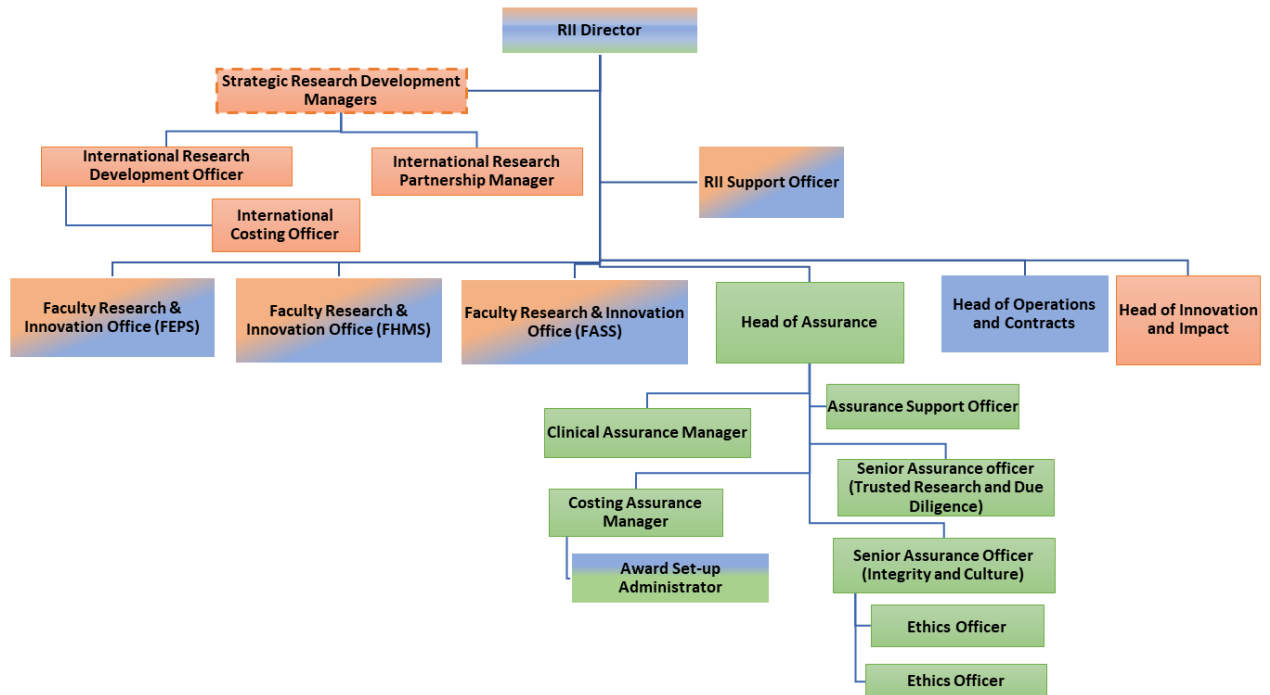
Track record of working successfully and developing strong networks with, and influencing, senior colleagues, external clients and peers.

E

2

Experience of consulting with regulatory bodies and their reporting requirements regarding governance, compliance and risk mitigation	E	3
Excellent knowledge of trusted research, due diligence. export control frameworks and associated legislation, how they apply to HEIs and their activities, and the risks of non-compliance	D	2
Experience of judging and handling confidential or sensitive data	D	n/a
<b>Special Requirements:</b>		<b>Essential/ Desirable</b>
Willingness to occasionally travel to attend external conferences and HEI events based in the UK		D
<b>Core Competencies</b> This section contains the level of competency required to carry out this role. (Please refer to the competency framework for clarification where needed). n/a (not applicable) should be placed, where the competency is not a requirement of the grade.		<b>Level 1-3</b>
Communication		3
Adaptability / Flexibility		3
Customer/Client service and support		2
Planning and Organising		3
Continuous Improvement		3
Problem Solving and Decision Making Skills		2
Managing and Developing Performance		1
Creative and Analytical Thinking		3
Influencing, Persuasion and Negotiation Skills		2
Strategic Thinking & Leadership		2
<p>This Job Purpose reflects the core activities of the post. As the Department/Faculty and the post holder develop, there will inevitably be some changes to the duties for which the post is responsible, and possibly to the emphasis of the post itself. The University expects that the post holder will recognise this and will adopt a flexible approach to work. This could include undertaking relevant training where necessary.</p> <p>Should significant changes to the Job Purpose become necessary, the post holder will be consulted and the changes reflected in a revised Job Purpose.</p>		
<b>Organisational/Departmental Information &amp; Key Relationships</b>		
<b><u>Background Information</u></b>		
<p>The RII division supports the research and innovation activity across the University. Support teams are based in faculties and as part of an RII Office. The focus of the RII division is on excellence, assurance and operations. Teams support the lifecycle of research and innovation, supporting funder visits, finding opportunities, bidding and award through to demonstrating outcomes and impact (working closely with colleagues across other professional services, including Strategic Planning, Research Finance, Library and Learning Support Service and the Surrey Innovation District).</p>		

## Department Structure Chart



## Relationships

### Internal

- The post holder will work directly for the Head of Assurance (RII).
- Other Senior/Project Officer within the directorate.
- Faculty Research & Innovation (FRIO) colleagues, other key internal RII colleagues, for sharing information.
- Research Finance, Research and Innovation Contracts within the University.
- The post holder will have regular contact with academics including Associate Deans (Research and Innovation) Heads of School, Research Directors, research staff and academic staff.

### External

- Senior/Project Officers (or equivalent post) at other universities to share best practice, build a network of contacts and engage in sector wide discussion.
- Managers at key sponsor organisations, where appropriate to the project being delivered.
- Research Collaboration Advice Team (RCAT)
- Higher Education Export Controls Association (HEECA)