



## City, University of London

## **HEIF accountability statement**

# Narrative return template for HEIF funding period 2021-22 to 2024-25

## Return date: 21 May 2021

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### **Question 1 – Strategic objectives**

# Summarise the institutional strategic objectives that relate to knowledge exchange and guide your plans for HEIF.

We expect institutions' plans for HEIF to be guided by strategic objectives for knowledge exchange. However, there is no requirement for institutions to submit or maintain a standalone knowledge exchange strategy document.

We appreciate that KE objectives may be found in a specific KE strategy document or they may be contained as part of other strategic documents such as teaching, research or overarching institutional strategies.

Whatever form your knowledge exchange objectives are in, please provide a precis of the main objectives here so that we can see the strategic context that guides your plans for HEIF and forms the basis for your monitoring and delivery of intended benefits.

We welcome the inclusion of hyperlinks to published strategies and plans that may be referenced in the summary.

In answer to this question, you are free to use text or tabular format but please ensure that the question response is contained in **no more than two pages of A4**.

#### **Research Impact from Enterprise Activities**

City has evolved a bifurcated approach to enterprise: academic enterprise and student enterprise. The difference in emphasis between the two is reflected across the HE Sector and is founded in the difference in ownership of intellectual property between staff and students.

**Academic enterprise** generally describes the ways in which academic colleagues transfer expertise and knowledge through external partnerships with business, public and voluntary organisations to create impact. Such partnerships would for example, take the form of: industry collaborations, bidirectional secondments, consultancy arrangements, provision of short courses and Continuous Professional Development (CPD) courses, Knowledge Transfer Partnerships (KTPs) and provision of expert assistance in helping inventive ideas reach the marketplace through the commercial exploitation of City's intellectual property. Academic enterprise activities are the main routes to research impact. We will double the number of KTPs undertaken by academic staff at City by 2025, reflecting the number of KTPS in research-intensive universities in our comparator group.

**Student enterprise** focuses on imparting entrepreneurial skills in our undergraduate community through embedding a culture of entrepreneurial thinking and opportunities for

business engagement in the curricula. In addition, students who self-select as entrepreneurs and wish to develop their creative ideas into businesses can be mentored, obtain access to many types of informative business events, business competitions, skillbuilding workshops, funding support and incubation opportunities. Student enterprise activities are key routes to education-based impact. We aim to be a sector-leader in enterprise education, doubling the number of student start-up enterprises from their 2019/20 level by 2025, and with enterprise education embedded in the curriculum of more Schools.

Both sets of enterprise activities lead to impact and as such, contribute in various ways to realising City's strategic objectives (e.g., employability). There are points of confluence in these academic and student enterprise activities which we will seek to expose and exploit to realise efficiencies and added value, and enhance City's overall contribution to the economy and society.

Placements in industry and public life are an effective mechanism for knowledge exchange and consequent impact. City has had success in winning Knowledge Transfer Partnership (KTP) funding. We will seek to be more strategic in our approach to these partnerships. Our aim is to increase the number of **KTPs** by 2025, and for this activity to be present in every School.

We will seek to increase the amount of **high level CPD** in line with School Strategic Plans, leveraging existing expertise and building on the existing capacity based around that within Bayes Business School (the Business School of City, University of London) Executive Education and City Law School. We will work with partners to identify both business needs and gaps in the market. City will seek to develop a wider range of high level CPD provision around new areas particularly within Social Sciences, Applied Health Sciences, and in STEM -based disciplines. Our aim is to increase the numbers of enrolled on high- level CPD programmes from 2020 to 2025 subject to us having a smooth recovery from COVID-19 restrictions.

We will undertake an internal campaign to encourage academic colleagues to exploit their expertise by seeking or accepting offers to engage in **external academic consultancy** activity. Any such campaign will extol the benefits of consultancy to City in the context of impact whilst respecting School strategic plans and workload models. We aim to triple the number of consultancy contract entered into by 2025, with consultancy being a key contributor to impact case studies submitted for REF2021.

City has a strong **intellectual property portfolio** and a history of successful commercial exploitation of inventive opportunities from research. In recent years, City's commercial deal-making pipeline has taken a back seat to more orthodox ways of disseminating knowledge i.e., research publications. In part, this has been driven by the pressures of successive research quality exercises such that enterprise routes to knowledge transfer were inadvertently but concomitantly undervalued. With the advent of the impact agenda, it is vital that City reinvigorates its commercialisation activities. To this end, we will

proactively seek to increase the number of inventive disclosures across all Schools year on year. We will also review the use of HEIF funding in order to align its use in strategic support of IP commercialisation.

A healthy IP pipeline should present more opportunities to protect our intellectual property and exploit it appropriately. In each case we will work collegially to make decisions about the exploitation pathway with the overall objective of increasing our commercial ventures whether for example, through the formation of spin out companies, high value licence deals or other royalty bearing engagements.

We will use existing networks to **encourage collaboration** with the best researchers internally, nationally and globally where strengths are complementary or where combined mass offers potential advantage. In parallel, we will strive to develop partnerships with commercial and non-commercial organisations to translate our research outputs into new products, policies or professional practice. Collaborations are assisted by School-based HEIF funded Business Development Managers.

Harnessing existing networks and new opportunities through membership of the University of London will encourage collaboration and knowledge sharing with the most able academics internally, nationally and globally. In parallel, there will be a striving for **partnerships** with commercial and not-for profit organisations to translate research outputs into new products, policies or professional practice. We will build on existing intra and inter-School interdisciplinary research; and support the development and establishment of complementary research centres and institutes that are interdisciplinary, international, inter-sectoral, address contemporary challenges and build focus on business and the professions.

Supported by Marketing & Communications and facilitated by the Research & Enterprise Office, we will increase **public engagement**, using a diverse range of communications media to disseminate the results of our research, facilitate its translation into practice and influence policy makers, professional practitioners, business, industry and public bodies.

### Question 2 – Use of HEIF

# How do you intend to use your 2021-22 to 24-25 HEIF allocations?

As detailed in <u>RE-CL-2020-04</u> and RE-P-2020-03., in order to enable institutions to effectively respond to the Covid-19 pandemic, we will use the 2019-20 HEIF Annual Monitoring Statement submitted in February 2021 to gather information about the use of HEIF during 2020-21,

In this accountability statement return we would like to know about your plans for HEIF for the remainder of the funding period 2021-22 to 2024-25. Please include indication of the planned timescale of the activity e.g. 2021-22 only; ongoing or 2022-23 onwards.

Please use the response layout grid provided overleaf, to provide the following information:

- a) Describe the key activities supported by your HEIF allocation.
- b) Include specific reference to how you expect HEIF to support these activities i.e. specific expenditures: funded posts, academic staff buy out, internal competitive projects; and the proportion of the activity that is supported by HEIF (e.g. x1 business development post 50% HEIF funded).
- c) How these activities relate to the government priorities and RE-OfS strategic objectives outlined in paragraphs 9 and 10 of RE-P-2020-03. Where student benefits are achieved, please include an indication of the number of students benefiting.
- d) Which strategic KE objective, as outlined in question 1, does each activity relate to.
- e) Indication of the timescale for each activity (e.g. 2021-22 only, ongoing or to be confirmed)

In answer to this question, please use the response grid provided and ensure that the entire question response is contained in no more than six pages of A4 or A3.

#### Question 2: Use of HEIF

#### (Max 6 pages of A4 or A3)

Planned areas of HEIF supported KE activity Please provide an overview of planned KE activities or projects that will be supported by your 2021-22 and onwards HEIF allocations.	HEIF support How HEIF will be used to support the project?	HEIF priorities How does this relate to govt priorities and RE-OfS strategic objectives? (Including note of scale where student benefits are achieved.)	Strategic objectives Which institutional strategic KE objective does this relate to?	Indication of timescale s
(1) Programme to support the acceleration of innovations arising from the invention disclosure process e.g., product testing, market research, patent applications and commercial exploitation.	4 x HEIF-funded IP and Commercialisation staff plus non- staff costs of paying for design, prototype development and manufacturing	Supports 'ideas' pillar of IS by helping to turn a research discovery into a strong commercial product. Supports the Innovation strategy set out in the Plan for Growth document (Build Back Better) - Encouraging the adoption and diffusion of innovative ideas and technologies across the economy	A healthy IP pipeline should present more opportunities to protect our intellectual property and exploit it appropriately.	2021-22 to 24-25
(2) Programme of support to students, alumni and local entrepreneurs to start and scale up new businesses, including co-financing a business start-up space which has more than 60 businesses in residence.	4 x HEIF-funded Entrepreneurship professionals who report to the Associate Dean (Entrepreneurship Programmes) at Bayes Business School (the business school of City, University of London).	Office for Students Knowledge Exchange Objectives: Support for graduate start-ups supported by incubator spaces at HEI providers. Build back better – "We will back business large and small, including the millions of entrepreneurs …and whose success will be pivotal to getting our economy moving again." City's 'Better Space' incubator grew exponentially over five	We aim to be a sector-leader in enterprise education, doubling the number of student start-up enterprises from their 2019/20 level by 2025.	2021-22 to 24-25

		years, 5 start-ups in 2014, 65 in 2018. In 2017/18, start-ups created 126 jobs, raised £2M investment and generated £300,000 revenue. Start-ups raised £11.2M investment (5th UK) and created 615 jobs (10th UK) [HE-BCI Survey Return]		
(3) support for social and cultural engagement events intended for the external community.	Using an internal competitive process, HEIF projects will be awarded in departments across the School of Arts & Social Sciences. KE training using The National Co-ordinating Centre for Public Engagement (NCCPE) will be used to improve public engagement prowess	R&D roadmap with forthcoming new strategies on Place and People & Culture; 'a healthy and vibrant ecosystem of institutions in which researchers are free to follow their curiosity, to test radical new ideas, to tackle complex societal problems, and to form new connections, collaborations and networks'.	We will increase public engagement, using a diverse range of communications media to disseminate the results of our research, facilitate its translation into practice and influence policy makers, professional practitioners, business, industry and public bodies	2021-22 to 24-25
(4) Strengthening or exploring the development of an external collaboration/ partnership, to move research results towards use (e.g., consultancy, collaborative and contract research, research partnerships, funding for research translation).	4 x HEIF-funded School-based Business Development Managers who assist with partnerships and collaborations.	Supports the innovation core pillar of the "Build Back Better: our plan for growth" policy paper - Support and incentivise the development of the creative ideas and technologies that will shape the UK's future high-growth, sustainable and secure economy.	We will strive to develop partnerships with commercial and non-commercial organisations to translate our research outputs into new products, policies or professional practice. Collaborations are assisted by School-based HEIF funded Business Development Managers.	2021-22 to 24-25

			Encourage academic colleagues to exploit their expertise by seeking or accepting offers to engage in external academic consultancy activity.	
(5) Programme to pump-prime the development of new Executive Education professional development courses (online and face-to- face) including those aimed at SME start-up and development, creativity and innovation, new venture creation, digital strategy, space and insurance	Providing digital marketing support to promote the courses (via a new post or with student support) and payment to guest speakers as necessary.	Encouraging business resilience, growth including SMEs Build back better – "We will back business large and small, including the millions of entrepreneurs …and whose success will be pivotal to getting our economy moving again."	We will seek to increase the amount of high level CPD, leveraging existing expertise and building on the existing capacity based around that within the Business School Executive Education and City Law School. We will work with partners to identify both business needs and gaps in the market.	2021-22 to 24-25
(6) Increasing Knowledge Exchange activities at Bayes Business School via its Research Centres. This will include making full use of KE channels such as Konfer, the brokerage platform for UK universities and businesses.	Hiring / procuring Digital Marketing support on a temporary or occasional basis.	Objective 3: work with regional business to boost productivity and prosperity in our region. Addresses the concern mentioned in Build Back Better "too few businesses are able to access the tools they need to translate new ideas into new products and services and to challenge established businesses. We will make the UK the best ecosystem in the world for starting and growing a businesss."	We will support the development and establishment of complementary research centres and institutes that are interdisciplinary, international, inter-sectoral, address contemporary challenges and build focus on business and the professions.	2021-22 to 2022-23
(7) City has joined UCL Health Partners, one of five accredited health science groups in the UK. City was invited to join the	HEIF may make a contribution to annual subscription of UCL Health Partners in line with the KE benefits vs Education ones.	UCL Partners works across the translational pathway to get health research and innovation into practice, which supports both	Harnessing existing networks and new opportunities through membership of the University of London will encourage	2021-22 to 24-25

partnership in recognition of its expertise in nursing, allied health, health services research and evaluation and health management		the UK R&D roadmap and the 'Build Back Better: our plan for growth' policy paper on their mission to help accelerate the translation of innovations into the NHS and the wider healthcare market.	collaboration and knowledge sharing with the most able academics internally, nationally and globally.	
(8) Working with the public and third sectors. For example, co- funding a project between the Autism Research Group and the National Autistic Society to promote KE that will highlight actionable measures to support autistic people.	Using an internal competitive process, HEIF funding will be awarded to selected projects across the School of Arts & Social Sciences with a view to creating useful toolkits for service users and where relevant, inform, influence policymaking and wellbeing of citizens.	R&D Roadmap: Ensuring a healthy R&D system The "R&D system" supports the UK's wider ecosystem of public, private and third sector organisations to push the boundaries of knowledge and turn great ideas into economic, environmental and social benefits.	We will strive to develop partnerships with commercial and non-commercial organisations to translate our research outputs into new products, policies or professional practice. Collaborations are assisted by School-based HEIF funded Business Development Managers.	2021-22 to 24-25
(9) Informing public policy, law and services through working with government, non- governmental organisations (NGOs), charities and public sector organisations and/or groups of individuals in society, through the implementation or non- implementation of policies, systems or reforms.	Staff time, consumables, travel, event organisation, temporary staff hire, cost of producing hard- copy reports.	R&D Roadmap: Ensuring a healthy R&D system The "R&D system" supports the UK's wider ecosystem of public, private and third sector organisations to push the boundaries of knowledge and turn great ideas into economic, environmental and social benefits.	We will increase public engagement, using a diverse range of communications media to disseminate the results of our research, facilitate its translation into practice and influence policy makers, professional practitioners, business, industry and public bodies.	2021-22 to 24-25
(10) Technology for Aphasia EVA Park is a multi-user online virtual world that gives people with aphasia unique opportunities to practise their	HEIF funding for technical support, outsourcing of software programming, participant fees for web site user testing, promotion and marketing costs.	Supporting the translational pathway to get health research and innovation into practice, which supports both the UK R&D roadmap and the 'Build Back Better: our plan for growth' policy	A healthy IP pipeline should present more opportunities to protect our intellectual property and exploit it appropriately.	2021-22 to 24-25

speech and establish social connections. Created by a process of co-design where people with aphasia collaborated with researchers in human-computer interaction and speech and language therapy.		paper on their mission to help accelerate the translation of innovations into the NHS and the wider healthcare market.		
<ul> <li>(11) Photonics and Instrumentation</li> <li>The work builds on advanced experimental and theoretical developments to meet increasing industrial needs for advanced sensing and measurement and new developments in photonic devices and systems.</li> <li>Photonics and Instrumentation has applications in railways, water purification, ship propulsion and healthcare.</li> </ul>	Using an internal competitive process, HEIF funding will be awarded to selected projects in the field of Photonics and Instrumentation. This may include professional KE support, technical support, events, consultancy services, co-fund staff placements.	The investment supports the Innovation strategy set out in the Plan for Growth document (Build Back Better) - Encouraging the adoption and diffusion of innovative ideas and technologies across the economy	A healthy IP pipeline should present more opportunities to protect our intellectual property and exploit it appropriately.	2021-22 to 24-25
(12) Supporting Knowledge Exchange between academics working in Artificial Intelligence, Machine Learning, Data Science, Data Visualisation, High Performance Computing, and organisations in business, public and third sectors.	Using an internal competitive process, HEIF funding will be awarded to selected projects across in the Department of Computer Science. Costs will likely include professional KE support, technical support, events, consultancy services, co- fund staff placements.	The investment supports the Innovation strategy set out in the Plan for Growth document (Build Back Better) - Backing the sectors and technologies that will shape the UK's future	We will support the development and establishment of complementary research centres and institutes that are interdisciplinary, international, inter-sectoral, address contemporary challenges and build focus on business and the professions.	2021-22 to 24-25
(13) Supporting Knowledge Exchange between academics	Using an internal competitive process, HEIF funding will be	The investment supports the Innovation strategy set out in the	We will support the development and establishment of	

### **Question 3 – Monitoring success**

How do you manage your HEIF funding and monitor the success of your activities against the strategic objectives set out in question 1, and in line with delivering Government priorities?

Describe the policies, procedures and approach you have in place in the context of your strategic objectives to:

- i. manage your HEIF spending
- ii. measure progress
- iii. evaluate outcomes and
- iv. identify lessons learned.

In answer to this question, you are free to use text or tabular format but please ensure that the entire question response is contained in no more than **four pages of A4**.

(Max 4 pages of A4)

#### The management of HEIF spending

City's annual HEIF allocation pays for dedicated Knowledge Exchange (KE) staff who support IP & Commercialisation, Business Development and Public Engagement activities. These staff support a wide range of interactions between academics and external organisations. The Head of Academic Enterprise ensures that their work supports only eligible knowledge exchange activities. In addition, HEIF funds a Student Entrepreneurship team who are managed by an Associate Dean of Entrepreneurship in the Business School.

HEIF also funds a range of other costs and initiatives associated with KE including, membership fees of regional KE networks, the organising public engagement events, attendance at KE practitioner training events, paying legal fees associated with commercialisation, co-funding a business incubator in the local Borough of Islington, and a range of administrative, technical and consulting activities that support KE between academics and the business, public and third sectors. The management of these funds and the monitoring of success of the activities they support is set out below.

HEIF funding for KE activities other than professional staff salaries are allocated via a competitive application process, where bids are reviewed by panels of senior representatives of the constituent departments and from the Research & Enterprise Directorate. But it is important too that our research and KE funding strategies are joined up and this is achieved by getting a representative panel to assess KE (HEIF etc.) funding to ensure that funding is not just about local politics but in line with vision of the institution.

HEIF funds allocated to individual projects is done with 'value of money' in mind and are then monitored to ensure that spending is kept within budget and within the financial year. HEIF spending is reviewed each month with the School Accountant and any large spending deviations are discussed and acted upon. Underspending is recycled to other projects, if required.

#### Measuring progress / evaluate outcomes / identify lessons learned.

Progress is measured by a) monitoring expenditure b) informal and formal conversations discussions with PI responsible for project c) review meetings. For transparency purposes PIs are required to deposit their project reports onto the research grants management platform, Worktribe, so that they may be reviewed by members of the HEIF allocation panel.

Regular meetings are held with the project teams to discuss progress, to identify challenges, to collect key points of learning and to plan next steps. Final outcomes as well as lessons learned are described from each project awardee via a final report or description of the deliverables.

We review final project reports and assess them before allocating further funding. While we don't expect all HEIF investments to demonstrate clear outcomes we do expect them to meet the HEIF eligibility criteria and to be spent within the University's financial regulations and in accordance with the project plan set out in the application.

When assessing final project reports the HEIF allocation panel would expect to see evidence of a close relationship between research, KE and impact, whether that entails commercialising intellectual property, influencing government and public authority decisionmaking, applying policy to clinical practice or successfully implementing artistic endeavour.

Over the short-term we will look for early indicators of success e.g., an invention disclosure is an early step towards patenting or licencing of IP. We also monitor how well we are doing at developing initial engagements with industry, the conversion rate of initial contacts through to contract and the time taken to process contract agreements, as these have been inefficiently done in the past. For non-STEM subjects we might look for press coverage/attention or online activity stimulated by our collaborative research projects and public events and 'types' of audience coming to these events. For student entrepreneurship we would expect HEIF investments to raise entrepreneurial intentions of the students as indicated by those engaging with City Ventures Programme.

Over the long-term HEIF investments should also contribute to City's emerging institutional performance indicators for Research & Enterprise. These include: increases in the number of consultancy contracts, high-level CPD income (£), number of high-level CPD enrolments, number of spin-out companies, number of student start-ups, number of KTPs, Percentage of FEC recovery on contract research projects, and academic-non-academic outputs deposited in our Open Access repository.

#### Efficient use of HEIF spending

We have introduced a clear line management structure in KE across the whole staffing structure. This is aimed at delivering continuous improvement and will be cost effective in the medium to long term. While Business Development Managers will remain co-located with Schools to keep a tight connection with academic staff, they will report to the Head of Knowledge Transfer for the whole institution. There will be a closer working relationship with research support, finance, careers, and alumni to support the development of a single coherent external view of the institution's enterprise offer.

Activities funded by HEIF should have an emphasis on facilitating research impact through engagement with non-academic partners. We communicate HEIF as an investment fund intended to help academics demonstrate the wider impact of their research beyond academia by facilitating relevant knowledge exchange activities. Similar to previous years, HEIF is to open the fund to all academic staff within City by putting forward a competitive bidding process. We encourage PIs to build on past successes. We have a plethora of previous and developing impact case studies for the REF, which we will use to guide our external relationship management activities.

#### Contributing to Government priorities

As we distribute HEIF to projects we have instructed Schools and HEIF allocation panels to align their funding decisions to the government priorities. Our planned KE activities fit comfortably with the 'Build Back Better: our plan for growth' policy paper and the 'UK R&D Roadmap' as both encourage the adoption and diffusion of innovative ideas and technologies across the economy and the importance of capturing the economic and social benefit from research through improvements to innovation and knowledge exchange.

In addition, the KE activities of our applied health sciences research fits the Life Sciences Investment Programme, a dedicated investment programme to unlock the potential of the UK's best health and life science innovations. This provides a roadmap for the UK to take the lead on cutting-edge, emerging industries such as early-stage diagnostics, advanced therapies and digital health. The strength of the life sciences sector in these areas and others provides economic opportunity in all parts of the UK.

#### Governance

#### Strategic:

Strategic leadership and governance of research and enterprise falls to the Deputy Vice-President (Research & Enterprise), a Research Committee and a strategic Research, Enterprise and Impact Strategy Board. Their role is to further the institutional approach to research partnerships and plan research investments. This group oversaw the development of City's 2016 Research and Enterprise Strategy and is developing its next strategy from 2022.

#### Management:

The University Research and Enterprise Committee keeps under review enterprise needs, plans and achievements, with particular regard to measurable aims, management processes and the organisation of research into appropriate groupings, with a view to maximising City's position in comparative assessments of research and enterprise; and to provide advice on these issues to the Vice-President (Research & Enterprise) and, as appropriate, to Senate.

#### **Operational:**

The IP Commercialisation Board advises the Vice-President (Research & Enterprise) on specific proposals for the exploitation of the university's intellectual property through various commercialisation activities, bearing in mind the need to balance commercial considerations with academic and other concerns; and on whether the spin-out option is the most suitable commercialisation activity for the specific technology.

Our policies, procedures and approaches to measure progress, include:

• Policies for Contracts; Industrial Partnerships; Commercialisation and the Formation of Spin Outs; Intellectual Property and Consultancy.

• The Research & Enterprise Office manages the support activities associated with managing risk and the flow of finances for KE activities.

• We will continue to promote the end of project report for HEIF investments to capture the outcomes of our KE activities. Reporting on the information added allows us to monitor at a University and School-level these outcomes and understand patterns of success.