Liverpool School of Tropical Medicine

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.

Strategy Background/Update - The Liverpool School of Tropical Medicine (LSTM) continues its commitment during this strategic planning period to a series of objectives for knowledge exchange and innovation as aligned to its existing strategic priorities. LSTM's current Strategic Plan (2017-2023) recognises the importance of Knowledge Exchange and Innovation as a key enabling strategy (and is available here). During 20-22 period, LSTM will continue to review and shape its Knowledge Exchange and Innovation strategy and objectives alongside the development of its institutional response to KEF and the KEC. LSTM is geographically located within the knowledge quarter, Liverpool where its UK offices are home within the largest cluster of science, health, education, digital and cultural minds in the region. During the current strategic planning period 2017-23, LSTM aims to continue to deliver clear knowledge management, innovation, and exchange strategies, enabling and supporting our aspirations to build upon our strengths, drive innovation, enable successful commercialisation and extend excellence into the future. This will meet the regional, national, and global agendas and support the UK's Research and Development Roadmap for investment fostering strong European and international links through collaborations and stronger inward investment. Ultimately, objectives are to increase LSTM's and partners competitive economic advantage attracting further inward investment from core government, European and international agencies, alongside partner investment, growth, and innovation. LSTM currently engages successfully with the largest number of funders and industrial partners and its current portfolio of activity represents an R&D investment of more than £220M. There are wider stakeholder partnerships that are

well established with Liverpool University Hospitals NHS Foundation Trust (LUHFT), Liverpool Health Partners, Liverpool City Region Local Enterprise Partnership (LEP) and numerous education partners, including the University of Liverpool.

2017-23 Main KE Objectives - The current published LSTM Knowledge Exchange and Innovation enabling strategy supports KE objectives across LSTM's translational pathway continuum of activity, from Discovery, Development, Implementation, Evaluation/Review to uptake through four main objectives, with corresponding sub aims:

1. **Nurture, Facilitate and Advance a Research Knowledge Exchange & Innovation ecosystem**.
   1.1. Provide clear and responsive access points for external organisations, supporting SME's and partners through mentorship, staff exchanges, access to knowledge networks/diffusion and increased equity investment.
   1.2. Support the discovery, development, production, and manufacture of products and services with appropriate SMEs and partners, where the products are of strategic importance.
   1.3. Strengthen business models/cases ensuring that products and services are supported within the competitive market.
   1.4. Deliver Integrated Solutions by accelerating productivity that will transform the economy and efficiency of new product discovery, development, evaluation, and impact assessment.
   1.5. Ensure that internal and external partners processes and policies, and commitment to equality, diversity, and inclusion, are aligned and embedded.

2. **Ensure Engagement and Impact from KE is delivered through working with others.**
   2.1. Deliver effective capacity development at multiple levels, including outside of standard academic systems, to ensure that the uptake of products, policies and practices is optimised to maximize impact.
   2.2. Advance the local skills agenda leading to increased productivity and social benefit regionally from supporting the creation of new direct and indirect jobs.
   2.3. Engage and consult with the wider public and community with LSTM's world-class research activity and impact, to inspire and inform them both nationally and internationally.
   2.4. Encourage and support the creation and application of knowledge to improve the implementation of health policies, programmes, and practices with national governments and international normative agencies.
   2.5. Encourage and support collaborative publications with organisations outside of academia.

3. **Engage with staff, students and collaborators and develop LSTM's response to the Knowledge Exchange Framework and Knowledge Exchange Concordat.**
   3.1. Develop, enhance, and improve the collection, accuracy, and application of data as information within the Knowledge Exchange landscape.
   3.2. Undertake regular institutional monitoring of KE performance, delivering continuous improvement based on data informed reflection aligned with organisational objectives.

3.3. Ensure equality, diversity, and inclusion are at the heart of our Knowledge Exchange activities, ensuring that communication, consultation, and training is accessible and inclusive for all.

3.4. Recognise and Reward the achievements of staff and students who perform high quality Knowledge Exchange and Innovation activity.

3.5. Strengthen the engagement between students, staff, and collaborators, building pathways to enterprise and employability.

4. **Engage with funding opportunities to strengthen and diversify income to support Knowledge Exchange related activity.**

4.1. Access, advance and support regional development and regeneration programmes, including UKSPF.

4.2. Strengthen research and innovation funding platforms with a focus on Innovate UK and KTP's

4.3. Ensure we provide our staff with a responsive service to funding opportunities that advances and has impact on health and wellbeing both on a local and global scale.

4.4. Explore and discover additional funding opportunities through the Advanced Research & Invention Agency (ARIA)

4.5. Support an organisational approach to internal competitions for delivering KE activity.

Question 2 – Use of HEIF

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

As detailed in RE-CL-2020-04 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.

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 timescales
Provide, support, and develop dedicated KE staffing to support organisational KE objectives by: - Working across LSTM's KE infrastructure and leading on KE strategy/objectives, creating, and enabling the ecosystem, supporting KE sharing, engagement and impact activity and engaging with funding and monitoring. - Leading and supporting LSTM's Pre-Award, Contracts, IP, Commercialisation, technology transfer activity. - Supporting the KE ecosystem, contributing to knowledge sharing and diffusion projects and initiatives.	***Note*** - During 2021-22 to 2024-25, HEIF expenditure in this area will re-profile from supporting 75% of dedicated staff costs to 65%, this reflects increased "other" income, releasing HEIF to support other HEIF costs and initiatives. **Existing KE Staff** • Director of Strategic Operations - 20% HEIF funded as KE Lead. • Head of Strategic Planning and Governance - 100% HEIF funded as KE Lead. • Knowledge Exchange Manager - 100% HEIF funded as KE Lead. • Administrator Strategic Operations - 20% HEIF funded as KE Support Lead. **Projected Future Posts** • Senior KE Officer – 100% (2022 onward)	- Through supporting an infrastructure of KE experts within LSTM there is strategic support for delivering the UK R&D RoadMap objectives to develop world-leading institutions, addressing the levelling up agenda, attracting talent, supporting investment, enterprise and being partners on a global scale. - - - All 5 BEIS 5 foundations within the Industrial Strategy are strategically mapped against LSTM activity. - LSTM ensures that UKRI Research England objectives under HEIF/KEF/KEC are followed. - LSTM activity supports recovery from Covid-19 through securing economic and societal benefit and through investment and collaboration opportunities.	**Across all main KE Objectives:** 1.Nurture, Facilitate and Advance a Research Knowledge Exchange & Innovation ecosystem. 2.Ensure Engagement and Impact from KE is delivered through working with others. 3.Engage with staff, students and collaborators and develop LSTM's response to the Knowledge Exchange Framework and Knowledge Exchange Concordat. 4.Engage with funding opportunities to strengthen and diversify income to support Knowledge Exchange related activity.	Will continue through strategic period - 2021 to 2025. 2022 – 2025
	Existing KE Staff • Director of Strategic Operations - 20% HEIF funded as KE Lead. • Group IP/Commercialisation Advisor - 100% HEIF funded. • Research Support Manager – 20% HEIF funded • Contracts Associate x 3 20% HEIF funded. • Legal Officer post 70% HEIF funded.	- Supports the UK R&D Roadmap ambitions providing close strategic alignment as global partners. - Meets HEIF/KEF/KEC objectives through collaboration with partners, routes to commercialisation and diffusion of innovation against a portfolio of £220M+. Generating economic benefit supporting £120M annual collaborative activity and £20M consultancy income. Local, regional, and global collaboration contributes to improved levelling up of R&D across the UK. - Supports recovery from Covid-19 through investment and collaboration. - Support "Ideas" foundation through creation.	1.5. Ensure that internal and external partners processes and policies, and commitment to equality, diversity, and inclusion, are aligned and embedded. 4.3. Ensure we provide our staff with a responsive service to funding opportunities that advances and has impact on health and wellbeing both on a local and global scale. 4.5. Support an inclusive organisational approach to internal competitions for delivering KE activity.	2021-22 only
	Existing KE Staff • Systems & Information Manager – 50% HEIF funded • IT Applications Developer - 50% HEIF funded. • Research Information Support - 25% HEIF funded	- From the R&D Roadmap LSTM will Invest in skills with an emphasis on key, scarce data science skills. Develop our digital research infrastructure capability and build step changes in capability. - Supports KEC objectives as per UKRI/RE KEC ecosystem, enabling knowledge sharing and diffusion.	2.5. Encourage and support collaborative publications with organisations outside of academia. 3.1. Develop, enhance, and improve the collection, accuracy, and application of data as information within the Knowledge Exchange landscape. 3.2. Undertake regular institutional monitoring of KE performance, delivering continuous improvement based on data informed reflection aligned with organisational objectives.	2021-2025

- Facilitating the research and exploitation process, supporting knowledge sharing and diffusion and supporting enterprise and entrepreneurship.		- Promotes "Ideas" pillar of IS through developing innovative ideas to diffuse knowledge.	
	Existing KE Staff • Senior Business Development Manager - 100% HEIF funded. • Director of Business Development and Partnerships – 10% HEIF funded. • Director of Fundraising – 5% HEIF funded. • Academic Dean x 2 – 5% HEIF funded. • Head of Academic Dept. x 4 - 10% HEIF funded. • PI's/Programme Managers x 135 – 2% HEIF funded.	- Aligns activity to the UK R&D roadmap through increasing our investment in research, unlocking new discoveries, and applying research to solving our most pressing problems in government, industry and across society. Through support to entrepreneurs and start-ups an increase in the flow of capital into firms carrying out R&D will enable them to scale up helping to attract and retain talent. LSTM aims to engage in new and imaginative ways to ensure that our science, research, and innovation system is responsive to the needs and aspirations of our society. - As per the IS, LSTM is contributing to the economy of the Liverpool region and the objective to support prosperous communities, supporting a science driven innovative environment, generating skills and good jobs. - LSTM's aim to ensure UKRI/RI's KEF/KEF/HEIF and OfS objectives are met will ensure strong evidence of success, meeting the call for research commercialisation with partners and supporting entrepreneurial activity with staff and students within our 567 PGT and 142 PGR students (19-20).	1.1 Provide clear and responsive access points for external organisations, supporting SME's and partners through mentorship, staff exchanges, access to knowledge networks/diffusion and increased equity investment. 1.2. Support the discovery, development, production, and manufacture of products and services with appropriate SMEs and partners, where the products are of strategic importance. 1.3. Strengthen business models/cases ensuring that products and services are supported within the competitive market. 1.4. Deliver Integrated Solutions by accelerating productivity that will transform the economy and efficiency of new product discovery, development, evaluation, and impact assessment. 2.1. Deliver effective and inclusive capacity development at multiple levels, including outside of standard academic systems, to ensure that the uptake of products, policies and practices is optimised to maximize impact. 2.2. Advance the local skills agenda leading to increased productivity and social benefit regionally from supporting the creation of new direct and indirect jobs. 2.4. Encourage and support the creation and application of knowledge to improve the implementation of health policies, programmes, and practices with national governments and international normative agencies. 2.5. Encourage and support collaborative publications with organisations outside of academia. 3.5. Strengthen the engagement between students, staff, and collaborators, building pathways to enterprise and employability.	2021-2025
- Supporting the community / public engagement	• Dean of Research Culture and Integrity – 5% HEIF funded. • Director of Communications – 20% HEIF funded • Public Engagement Manager - 50% HEIF funded • Senior Media Officer – 20% HEIF funded • Inclusion, Diversity & Engagement Manager – 5% HEIF funded.	- By ensuring that LSTM's research activity is underpinned by strong engagement strategies with the users of research and the wider public we will meet government priorities. The R&D roadmap sets objectives to improve the culture of research and the importance of public engagement ensuring equality, diversity and inclusion is a multifaceted response.	2.3. Engage and consult with the wider public and community with LSTM's world-class research activity and impact, to inspire and inform them both nationally and internationally. 3.3. Ensure equality, diversity, and inclusion are at the heart of our Knowledge Exchange activities, ensuring that communication, consultation, and training is accessible and inclusive for all.	2021-2025

- Exploiting LSTM's physical assets supporting knowledge exchange.		- Principle 3 of the KEC will be supported whilst ensuring overall KEF progression and HEIF evidence.	3.4. Recognise and Reward the achievements of staff and students who perform high quality Knowledge Exchange and Innovation activity.	
- Skills and Human Capital Development activity directly related to KE.	• Head of Estates – 10% HEIF funded • Facilities Manager – 10% HEIF funded	- The UK R&D roadmap seeks to support enterprise, and pathways to employability. This objective will meet this priority. - LSTM aims to meet UKRI/RE priorities for HEIF by supporting access points for ext. organisations. Similarly, the KEC Engagement principle, will measure progress against this priority. - OfS support Student driven enterprise and LSTM enables this activity throughout the campus.	1.1 Provide clear and responsive access points for external organisations, supporting SME's and partners through mentorship, staff exchanges, access to knowledge networks/diffusion and increased equity investment. 3.5. Strengthen the engagement between students, staff, and collaborators, building pathways to enterprise and employability.	2021-2025
	• Dean of Research Culture and Integrity – 5% HEIF funded. • Learning & Development Manager – 5% HEIF funded. • Inclusion, Diversity & Engagement Manager – 5% HEIF funded.	- The R&D roadmap sets objectives to improve the culture of research and the importance of public engagement ensuring equality, diversity and inclusion is a multifaceted response. The BEIS IS "People" Foundation, through supporting the local skills agenda, leading to productivity gains within the "Infrastructure" Foundation. Supporting a levelling up and "Place" based agenda in skills is critical to success in these objective areas. - As Covid-19 recovery continues supporting the local skills agenda and economy will drive recovery. - Close alignment with RE and OfS activity, ensures critical success. - Supports Equality, Diversity, and Inclusion in a multifaceted response.	1.5. Ensure that internal and external partners processes and policies, and commitment to equality, diversity, and inclusion, are aligned and embedded. 2.1. Deliver effective and inclusive capacity development at multiple levels, including outside of standard academic systems, to ensure that the uptake of products, policies and practices is optimised to maximize impact. 2.2. Advance the local skills agenda leading to increased productivity and social benefit regionally from supporting the creation of new direct and indirect jobs. 4.5. Support an inclusive organisational approach to internal competitions for delivering KE activity.	2021-2025
Engage with strategic funding opportunities to strengthen and diversify income to support Knowledge Exchange related activity, achieving > 5% annual growth in KE funding over the 2021-2025 period.	- HEIF will support other costs and initiatives to develop, train, engage, signpost and mentor peer activity within the knowledge ecosystem priming/developing applications for Innovate UK/KTP's/UKSPF regeneration and potential ARIA funding opportunities. This will access a projected 4% of an overall 25% spend of HEIF from 2021 onwards. This activity will also be co-supported from grant funded "Entrepreneur in Residence" support.	- Meets UK R&D Roadmap objectives to increase investment in research, unlocking societal benefits. Providing long-term flexible investment into LSTM. By engaging in new and imaginative ways to ensure that our science, research, and innovation system is responsive to the needs and aspirations of our society. - Reflects the IS foundation of supporting "Infrastructure" and "Business Environment" through investment leading to prosperous "Places". - Ensures LSTM organisational financial sustainability meets OfS and RE objectives.	4.1. Access, advance and support regional development and regeneration programmes, including UKSPF. 4.2. Strengthen research and innovation funding platforms with a focus on Innovate UK and KTP's. 4.4. Explore and discover additional funding opportunities through the Advanced Research & Invention Agency (ARIA)	2021-2025
Propose, develop and implement a HEIF funding and support model to buy our academic time to engage in KE activity or support potential KE Fellowship development.	- HEIF will be used to support a budget within the KE team to access the buying out of Academic time to support LSTM skills and capital development within staff. This approach will formalise the school approach to developing collaborative KE skills. (2% /	- Ensuring that UK R&D priorities are met by LSTM attracting, retaining, and developing our talented, diverse people and teams through greater connection to KE objectives will prove successful.	2.1. Deliver effective and inclusive capacity development at multiple levels, including outside of standard academic systems, to ensure that the uptake of products, policies and practices is optimised to maximize impact.	2022-2025

	5% / 5% profile starting in 2022) of overall HEIF funds used for academic staff activity. - HEIF will be used to support the Translational Research ecosystem (20-21 activity has been supported through a WT translational partnership award). The iTPA project helps identify, explore, and develop nascent translational opportunities within research, enabling further development of the projects to secure further funding and resources and achieve clinical, translational or commercialisation impact. HEIF funding will focus upon supporting skills and capacity development and networking and knowledge diffusion.	- Supporting greater connectivity to the "Place" based agenda. - Following HEIF/KEC and KEF objectives to advance the KE supported translational research ecosystem within LSTM will deliver organisational growth regionally, nationally, and globally. - By ensuring that LSTM's research activity with the users of research and the wider public is underpinned by strong engagement strategies, support from staff and greater capacity, we will meet government priorities. - The R&D roadmap sets objectives to improve the culture of research and the importance of public engagement ensuring equality, diversity and inclusion is a multifaceted response.	2.2. Advance the local skills agenda leading to increased productivity and social benefit regionally from supporting the creation of new direct and indirect jobs. 2.3. Engage and consult with the wider public and community with LSTM's world-class research activity and impact, to inspire and inform them both nationally and internationally. 2.4. Encourage and support the creation and application of knowledge to improve the implementation of health policies, programmes, and practices with national governments and international normative agencies. 2.5. Encourage and support collaborative publications with organisations outside of academia.	
Develop LSTM's response to the Knowledge Exchange Framework and Knowledge Exchange Concordat: - External Relations Committee. - KEC Steering Group. - PCE Policy review Steering Group. - Build stronger KE networks with staff and students.	- HEIF will be used to support other costs and initiatives to revitalise LSTM skills, develop knowledge sharing activity, - KE expert advice, support and steer will be provided to the External Relations Committee, KEC steering group, PCE and wider networking groups setting out projects to embed KEC objectives. - HEIF funding will be used to review and develop LSTM's SharePoint Knowledge Exchange project, delivering a suite of information, training, and support materials to staff.	- Through providing long-term flexible investment into infrastructure and institutions, LSTM will ensure that it meets the R&D roadmap. - By following UKRI/RE's HEIF/KEF/KEC guidance, engaging across the organisation and with partners, LSTM will deliver continuous improvement following self-evaluation of its KEF and KEC outcomes.	3.Engage with staff, students and collaborators and develop LSTM's response to the Knowledge Exchange Framework and Knowledge Exchange Concordat.	2021-2025
Develop KE systems that underpin and support effective knowledge sharing and diffusion, supporting the community of Academia both students and staff. - Review GIK monitoring, capture and reporting system with Research Management. - Develop Data Warehouse and IT systems integration delivering KE Reporting environment - Evaluate and improve the collection of SME/industrial interactions.	- HEIF will be used to better enable and grow training opportunities, CPD events, knowledge networks and diffusion through enhanced development and connectivity of Academics and Students to KE data and evidence systems. HEIF will be used to support KE through networking events, diffusion and engagement activity.	- Meets UK R&D Roadmap objectives to increase investment in research, unlocking societal benefits. Providing long-term flexible investment into LSTM. By engaging in new and imaginative ways to ensure that our science, research, and innovation system is responsive to the needs and aspirations of our society. Also, through attracting, retaining, and developing the talented, diverse people and teams that are essential to delivering our vision.	3.1. Develop, enhance, and improve the collection, accuracy, and application of data as information within the Knowledge Exchange landscape. 3.2. Undertake regular institutional monitoring of KE performance, delivering continuous improvement based on data informed reflection aligned with organisational objectives.	2021-2025
Develop strong internal KE collaboration opportunities within the LSTM IICON project team (LSTM UKRI funded Strength in Places Project) and Core KE. - Engagement with a data analysis/connectivity project to support KE knowledge and information base.	- As the LSTM IICON project is separate UKRI Strength in Places funded project supporting infection innovation, clear separation of activity and finance is required, although there will be cross-organisation benefits. HEIF will be used to support KE activity that is outside of the SIP scope objectives as agreed. HEIF will support structuring access to knowledge data sets and connected information.	- Aligns activity to the UK R&D roadmap through increasing our investment in research, unlocking new discoveries, and applying research to solving our most pressing problems in government, industry and across society. Through support to entrepreneurs and start-ups an increase in the flow of capital into firms carrying out R&D will enable them to scale up helping to attract and retain talent.	1.1 Provide clear and responsive access points for external organisations, supporting SME's and partners through mentorship, staff exchanges, access to knowledge networks/diffusion and increased equity investment. 1.2. Support the discovery, development, production, and manufacture of products and services with appropriate SMEs and partners, where the products are of strategic importance.	2021-2025

- Support wider KE activity within the Infection innovation Consortium UKRI SIP funded - IICON project.		- LSTM aims to engage in new and imaginative ways to ensure that our science, research, and innovation system is responsive to the needs and aspirations of our society. - UKRI's investment via SIP towards the formation of IICON will yield significant benefits for LSTM, the region, and subsequent partnerships. The strong "Place" based project will ensure that peripheral KE activity outside of Infection Innovation is cross fertilised. - Will support the OfS/RE employability priority, whilst engaging entrepreneurial investment and activity.	1.3. Strengthen business models/cases ensuring that products and services are supported within the competitive market. 1.4. Deliver Integrated Solutions by accelerating productivity that will transform the economy and efficiency of new product discovery, development, evaluation, and impact assessment. 2.1. Deliver effective and inclusive capacity development at multiple levels, including outside of standard academic systems, to ensure that the uptake of products, policies and practices is optimised to maximize impact. 2.2. Advance the local skills agenda leading to increased productivity and social benefit regionally from supporting the creation of new direct and indirect jobs. 2.5. Encourage and support collaborative publications with organisations outside of academia. 3.5. Strengthen the engagement between students, staff, and collaborators, building pathways to enterprise and employability.	

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.

Policies, Procedures and Approach for - managing HEIF spending.

<u>Governance Arrangements</u>
The Knowledge Exchange Steering Group (KESG) was formed to provide institutional oversight of HEIF funding and expenditure and to monitor the success of activities against the KE objectives agreed within the strategic plan. The role of the KESG is to also have oversight of the development of strategy and policy, monitoring of their implementation, to ensure efficacy and learning for performance enhancement in knowledge exchange as defined in the Knowledge Exchange Concordat, activity across LSTM, as aligned with delivery of the Strategic Plan and the targets therein. The KESG operates to a "terms of reference", detailing the roles and responsibilities of members, who are currently represented by 4 x core KE specialists, Senior legal and IP, Dean of Research Culture, Innovation Scholar, REF2021 Impact Assessor, Director of PG Research and an overseas subsidiary representative. The minutes and actions of these meetings are reported to LSTM's management committee for governance oversight. Two senior leadership team representatives are members of this group. Related TOR objectives include:

I. Development or advising and oversight of strategy and policies required as signatories to the KEC and participants in the Knowledge Exchange Framework (KEF) (including strategies for consultancy, CPD, technology transfer, community, and public engagement), and for proposing this to Management Committee in alignment with the delivery of LSTM's Strategic Plan.

V. Ensuring that guidance and processes for staff and students within the areas of KE meet LSTM's needs, follow best practice, and are aligned to the KEF/KEC, research councils, government and other key stakeholder priorities.

VI. Ensuring LSTM complies with HEIF, KEC, and KEF and supports and monitors an effective HEIF budget setting, monitoring and expenditure process.

HEIF Spending Monitoring

HEIF spending is monitored by the core KE team (Director of Strategic Operations as KE Director, Head of Strategic Planning and Governance as KE Head, Knowledge Exchange Manager, and the Administrator of Strategic Operations) with oversight from the KESG and Director of Finance. Activity is pre-budgeted and planned against the categories listed within the HEIF Table A of the HEIF accountability return, using the three-broad category breakdown of expenditure. Further KE project income is also considered alongside the overall budget setting period, which is used to augment KE activity, and finalised on receipt of allocation from RE.

Category Analysis, Reporting and Oversight

Dedicated KE Staff
- Where dedicated KE staff costs are agreed to be supported under HEIF, a delivery criteria assessment is made against an agreed contribution to KE objectives within their role, in advance. These activities must meet the criteria for KE activity and RE definitions/guidelines must be followed.
- A budget summary of dedicated KE staffing costs is forward projected for the year and adjusted according to the objectives within scope for that period. The remaining budget is allocated to the "Other Costs and Initiatives".
- Annual inflationary costs and oncosts are considered during budget setting.
- Progress against activities and deliverables are maintained and costings are accurately reviewed and presented so that the budget is managed overall within allocation.
- A summary is presented to the KESG for oversight.

Academic Staff KE activity (including buying out academic time to engage in KE)
- This process is currently under development and will be piloted during 2022. It is envisaged there will be a variable table of charge back rates to support specific buy-out activity relating to KE.

Other Costs and Initiatives
- The annual budget setting process agrees the outline available from HEIF funds.
- KESG review the KE team actions and priorities for the development year, which are presented in an outline project plan.
- This activity is costed against the annual KE action and development plan which has oversight within the KESG.
- Activity is monitored and project/activity costs are kept providing progress monitoring and expenditure summaries.

HEIF budgeting and expenditure is also subject to LSTM's Internal Audit oversight and is independently financially assured by the Director of Finance.

Policies, Procedures and Approach for – measuring progress.

Delivery progress against HEIF funded activity and organisational assessment of continuous improvement (KEC Principle 7) is currently captured across several specific steering and oversight groups within LSTM:

Knowledge Exchange Steering Group (KESG)
KESG was formed to provide institutional oversight, including measuring progress against HEIF funded activities and other funded KE strategic objectives. Specific responsibilities for monitoring and measuring progress of HEIF/KE activities include:

II. Developing and monitoring policies and practices for the enhancement of quality and standards in KE, including the development and implementation of robust and effective KE governance arrangements.

III. Monitoring the implementation of the KE Strategy, tracking key LSTM activities for HEIF (including UKRI Research England, KEF metrics and KEC priorities), and considering a broader range of UK government indicators of priority KE activity, including regional, national and international activity, professional development of our research community, our enterprise activity, and our broader reputation.

VII. Monitoring the policies and practices of key external organisations/funders and relevant regulatory bodies, ensuring that LSTM is alert to, and responds to, national and international developments in KE, including the Government's KE priorities assessment and resource allocation process.

VIII. Advising the operation of LSTM's professional services to ensure efficient and effective support for the implementation of knowledge exchange strategies.

X. Accountable for ensuring the KESG follows and stays abreast of all guidance for KEC/KEF, engages in appropriate policy updates and aligns to best practice indicators from pilot exercises.
XI. To ensure that the above duties are carried out with due regard to equality and diversity thereby avoiding discrimination.

Pre/Post Award Activity Grant Management
LSTM's Research Management Team, work with PIs to ensure pre-award applications address the requirements for Academic and Economic and Societal impact plans and feature articulated beneficiary and engagement activity plans. Post Award these are monitored through the Post Award team, audited, and reported through to the Management Committee. Evidence of progress activity at a project level supports the oversight of good management of KE activity within Research projects and is provided to Management Committee.

IP/Commercialisation Group
IP strategy and expenditure are monitored and reported through this group, chaired by LSTM's Director of Strategic Operations and KE Lead, working with the Group IP and Commercialisation lead, Director of Finance, Director of IICON and Innovation lead. Reports are circulated to LSTM's Management Committee and this provides assurance and monitoring evidence for good practice and monitoring of progress.

LSTM's Management Committee (MC)
MC receive assurance of the progress of HEIF/KE activity through reporting minutes, actions, and update reports from KESG. Three members of the KESG are also members of LSTM's MC.

Policies, Procedures and Approach for – evaluating outcomes and identifying lessons learned.

KESG's terms of reference include specific responsibility for the evaluation of performance outcomes within the KEC's measurements and evaluation of success:

IV. Implementing and evaluating key performance indicators/metrics (relating to HEIF/KEF/KEC activity), agreeing appropriate action plans and where necessary advising necessary changes to LSTM's Management Committee (MC) to ensure alignment with LSTM's Strategic plan.

IX. Accountable for ensuring effective oversight of public and community engagement with public, and communities working with staff and other relevant committees (through KESG members also being members of/reporting to other committees and through the Dean of Research Culture and Integrity) to support transparency and inclusivity in decision making and ensuring a closed feedback loop.

KPI's
Leading up to the publication of KEF and the KEF metric proposals, LSTM used a range of KPIs to evaluate KE activity, this has naturally evolved as KEF metrics were published and data collection and analysis matured within LSTM. KPIs are selected to ensure a balanced, proportionate, informative, and relevant perspective evaluation and include:
- Quantitative outcome driven activity: Total income (by income type) per academic FTE/Dept, Total collaborative + contract research income as a % of total research income, CPD income as a % of total teaching income and Total IP income as a % of total research income. These are also supplemented by the KEF metrics.
- Qualitative/anecdotal evidence-based monitoring includes: the contextualised analysis of KE/HEIF performance outcomes, including balance of KE activity between funders, grant contribution to KE activity, application submission and success rates; training need gap analysis, career development activity, national and international recognition of staff, products, and diagnostics (including patents); and uptake of research into policy. Publication datasets are monitored to ensure that the evidence base for analysis of outcome activity is available.
- As part of KEC a self-assessment and annual development process is overseen by the KESG. This activity includes using KPI data and KEF data, benchmarking evidence, survey data, policy review, strategic priorities, quality assessments, and where available third-party engagement evidence or feedback.

Periodically, the Board of Trustees are presented with an evidence review and summaries of KE/HEIF activity outcomes.

Public and Community Engagement Evaluation
Evidence of PCE impact, which goes beyond the dissemination of research activity and the numbers of people engaged, is a designed activity. This output evidence is reviewed by the PE Manager at LSTM and through feedback to those undertaking PCE via evaluation briefings and practice sessions. LSTM identify that in effective evaluation listening and critical reflection helps inform good future research design. Evaluation is conducted by the individuals undertaking PCE activities to evidence of how the activity progressed as well as capturing audience feedback. LSTM assess the impact of the PE activities by collating evidence to demonstrate a potential change in target audience behaviour or learning. Where appropriate, LSTM also assess impact in international communities using focus groups and workshops within communities (for example with faith healers, clinicians, health support workers and other representatives) and this will occur before, during and following engagement. Community statements are used to gather/evidence these viewpoints.

LSTM have:
- Embedded a framework to support, manage, monitor, and assess the success of public facing projects and collate feedback of those staff and students undertaking activities.
- Developed a PE reporting mechanism to monitor levels of activity.
- Recorded formative and summative assessments of public engagement activities.

External Relations Committee - Engagement Evaluation
LSTM's External Relations Committee was established early 2021, with a remit to support an organisational approach to understanding and growing the depth and breadth of relationships with partners, stakeholders' groups, and multiple touch points. Its work is also to develop an engagement plan for targeted future "key stakeholder" relationships. This committee has the remit to evaluate and respond to feedback on organisational engagement. They also ensure that an annual impact report is delivered to LSTM and stakeholders, detailing where KE activity demonstrates most impact across our activity. This committee are also responsible for the delivery and monitoring of actions relating to KEC Principle 2 – Engagement and will feed their action plan into KEC Principle 7 (Continuous Improvement) and evidence of evaluation into KEC Principal 8 (Evaluating Success).

Identifying Lessons Learned
The role of KESG is to receive all KE activity updates and part of its duties are to ensure these are effective and have met KE objectives set out. The KE Manager plays an important role in monitoring the success of KE activity and is supported by the Head of Strategic Planning and Governance as KE Head to ensure projects are delivered within the time, scope and agreed KE objectives. Clear communication of LSTM's expectations of KE HEIF funded activity ensures that expenditure has good governance arrangements. Where there are any KE HEIF support activities experiencing drift or under performance, this is reported to KESG and interventions will take place to support the activity to get back on track. KESG can remove and reallocate HEIF funding as a final leverage.

Enabling discussion at a KESG strategic level also ensures a priority driven application of KE expenditure can take place. Aligning LSTM KE activity to UKRI/RE, BEIS IS Strategy, and the UK R&D roadmap is critical for success.

KESG also support the use of web resources, organisational updates, and network diffusion to communicate and identify where good practice models have supported successful KE outcomes. The mentorship, advice, and engagement within LSTM and across our networks and partners to support successful KE activity is outstanding, and the celebration of this success is always our priority.

Case studies (optional)

Purpose of the case studies

We would like to use this opportunity to identify institutional case studies that will demonstrate the value of HEIF to creating economic and societal impact in the UK through knowledge exchange activities that meet Government priorities.

We intend to use these case studies to inform policy development and demonstrate the value of HEIF to a range of stakeholders, including UKRI, BEIS and DfE. As such they will be used in isolation from the rest of the accountability statement and so the text should be of publication quality, include all relevant information and not cross refer to other questions or documents.

The provision of case studies is optional. The activities detailed in your case studies may duplicate descriptions provided elsewhere such as KEF narrative statements.

Case study content

Reflect on your successes and provide up to two case studies of exemplar KE projects or activities that have been supported by HEIF.

Please include:

  a) Brief description of activity.
  b) In what way the activity was supported by HEIF, e.g. KE staff posts, academic staff buy out etc.'?
  c) In what way did this activity achieve societal, economic or student benefit?
  d) How the work has supported a government priority area and RE-UKRI and OfS strategic objective.

You are free to use any format you wish, but please ensure that each case study is no more than 500 words.

Optional case study photograph

If you wish to provide an accompanying photograph, please ensure you own full copyright and are able to grant permission to be used in Research England and Office for Students publications or websites for use alongside your case study. Please provide this as a high resolution image file and cross reference the image along with copyright information.

HEIF Case study 1

Institution name:	Liverpool School of Tropical Medicine (LSTM)
Case study title:	**K4D COVID-19 Health Evidence Summary**
Related image file name and copyright information (if applicable)	