University of York

HEIF accountability statement

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

Return date: 21 May 2021

Return as Microsoft Word file to: KEPolicy@re.UKri.org

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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.

The University of York’s overarching vision is to be a University for Public Good. In 2020 we started work on our new institutional strategy and developed five strategic aims to describe the broad outcomes we want to achieve over the next ten years.

These five aims are:

- Research with relevance and reach
- Ethical and empowering education
- Positive and productive partnerships
- Lasting legacies
- Agile, able and aligned.

These aims are authentic and unique to York and will deliver our strategic vision to be a University for Public Good. Our core principles of sustainability, internationalism, equality, diversity and inclusion, and collaboration across disciplinary boundaries are interwoven into all five aims of the University strategy.

With the goal of being a University for the Public Good we aim to ensure that the research we undertake does not only open new knowledge, but that we also apply that knowledge for the benefit of society. As such, Knowledge Exchange (KE) is an integral part of all aspects of realising our vision.

Building on this aim, we also want our students to be both technically proficient, and be able to apply their learning for social benefit, both in the UK and as ‘citizens of the world’. We want to open access to our University to those who had previously not had the opportunity.
We want to challenge the view of higher education that is focused solely on its economic impact, and ensure that our expertise and its impacts help create the conditions needed for all parts of our society to flourish.

**Public Good through Research Impact:**

Our research will be driven by the curiosity that opens new knowledge and addresses global challenges and opportunities, combining strong disciplinary foundations with a distinctive York tradition of creative interaction across disciplinary boundaries.

Our goal is for our research to have excellent impact and relevance beyond academia; specifically, to contribute to regional, national and international economic development, legal and political change, technological advance, improvements to health and wellbeing, environmental benefit, social and educational good and cultural enrichment.

**Public Good through Education:**

Our students thrive by learning amid highly creative research, and by contributing through their ideas to that research. Like our researchers, they will increasingly work and learn across disciplinary boundaries, inspired by outstanding teaching that will equip them as York graduates to work across different sectors, cultures, and ways of thinking, able to adapt as workplace needs change. While they study they will have opportunities to apply their learning in addressing social challenges in our city and region, in industry, and internationally, building the skills to become future leaders.

Over time more of our students will study partly or wholly online and many will return to university to re-skill mid-career. Our student body will become increasingly representative of the society around us as we work to widen access to the University.

Our aim is that our students complete their studies with the knowledge, skills and commitment to help identify and resolve the social and economic needs of society in the UK and beyond, to make their contribution to public good.

**Public Good through Collaboration:**

The University of York thrives on collaboration. We are actively engaged and members of networks of universities in Yorkshire, the North of England, the UK, Europe and worldwide.

We have strong long-term relationships with external stakeholders through collaboration with community groups, arts and cultural organisations, local authorities, charities, the NHS, schools and colleges and industry. These partnerships open additional routes for our research and teaching to impact society locally, regionally and globally through the full breadth of knowledge exchange activities.

**Public Good in the City and Region**

Through civic leadership we aim to be a leading contributor to public good in our city and region, collaborating with others to build a sustainable, resilient and inclusive economic ecosystem. Building on our research and the talents of our graduates, we will help nurture a thriving cluster of SMEs embedded in the city and region that in turn draws in wider investment contributing to the economic development of the city and the region. We will develop an ecosystem to support innovation and to drive the growth of start-ups and SMEs, facilitated by the establishment of the York Accelerator and a coherent skills and employment strategy.

Effective collaborative working, knowledge exchange and delivery of impact from its research are at the centre of the University's ethos. These principles are embedded
throughout this HEIF accountability statement, which is set within the framework of the University Strategy 2020-2030 and its associated Research, and Learning and Teaching Strategies.

Thus, this vision of our research, teaching and engagement to be focussed on the public good naturally permeates our three strategic priority objectives for knowledge exchange and the expectations we have for use of the HEIF budget as detailed below

1. To maximise the impact of our research activity through strong research partnerships and effective knowledge transfer activities

2. To build the capability of our students to contribute to society, within and alongside their studies, and as professionals after graduation;

3. To expand economic, social and civic capital of the region through our scale of activity, unique capabilities and leadership role.

We have presented our future HEIF spend in three main categories to address our priority objectives:

**Fundamentals of KE Management** - this covers all the core KE functions across the University required to support, manage, report and communicate our KE activities both internally and externally

**Enhancement of KE Management** - this section relates to activities designed to enhance and grow the range of KE we support and to develop new capabilities especially around the area of public and community engagement

**Strategic Programmes** - this covers large strategic initiatives across the institution. This includes existing strategic initiatives that will be further strengthened and developed using HEIF, and new activities that are planned in the next 1-3 years. Over the course of the HEIF strategy new priorities will inevitably emerge, so we have also included a dedicated annual fund to allow for investment in these new initiatives.
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.
**Question 2: Use of HEIF**
*(Max 6 pages of A4 or A3)*

<table>
<thead>
<tr>
<th>Planned areas of HEIF supported KE activity</th>
<th>HEIF support</th>
<th>HEIF priorities</th>
<th>Strategic objectives</th>
<th>Indication of timescales</th>
</tr>
</thead>
<tbody>
<tr>
<td>Please provide an overview of planned KE activities or projects that will be supported by your 2021-22 and onwards HEIF allocations.</td>
<td>How HEIF will be used to support the project?</td>
<td>How does this relate to govt priorities and RE-OfS strategic objectives? (Including note of scale where student benefits are achieved.)</td>
<td>Which institutional strategic KE objective does this relate to?</td>
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**Fundamentals Management of KE**

| Dedicated KE staff covering the full KE remit - including supporting CPD, Commercialisation, Partnership, Innovation and Impact-development support, Economic Development activities, KTPs, KE contracts, Communications and other support functions to ensure an effective and support KE culture and ecosystem | 65+ FTEs (broken down below) Note data below doesn't include staff in teams funded through other internal core funding or external grants | Support industrial strategy and Covid 19 recovery Supports UK Road map priorities Build back better - skills, innovation, levelling up, HEIF priorities | 1, 2 and 3 | 2020 onwards |

Continuing Professional Development 4 FTE
Knowledge Transfer Partnerships 3 FTE
Commercialisation 6 FTE
Impact officers 3 FTE
Research Innovation and Development 7 FTE
Economic Development 10 FTE
Communication and Marketing 2 FTE
Central R&E Staff 9 FTE
Research and Knowledge Exchange Contracts 5 FTE

**Academic or other professional services staff with a dedicated KE role** e.g. systems management, placement and business engagement staff.

| Dedicated KE staff supporting student internship activities - providing SMEs | Up to 20 FTEs (part HEIF funded roles across all faculties and directorates) | Supports UK Road map priorities Build back better - skills, innovation, levelling up, HEIF priorities 500+ students on placements and work-based activities | 1, 2, 3 | 2020 onwards |

Dedicated KE staff supporting student internship activities - providing SMEs 1.25 FTE Internship officer

Supports enhanced employability prospects of our students. 2, 3 2020 onwards
<table>
<thead>
<tr>
<th>Activity</th>
<th>Description</th>
<th>Funding</th>
<th>Timeframe</th>
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<tbody>
<tr>
<td><strong>Dedicated KE staff supporting student enterprise in careers</strong></td>
<td>delivery of workshops, bootcamps, enterprise training, competitions, funding, mentoring and other business services to support and develop student entrepreneurs</td>
<td>HEIF student KE and employability UK Road map - entrepreneurs and start-ups 200+ number of students involved</td>
<td>3</td>
</tr>
<tr>
<td><strong>Efficient management and reporting of KE activities</strong></td>
<td>through the use of dedicated software and systems to support KE</td>
<td>UK Road map - Supporting innovation, application and deployment Covid 19 recovery HEIF priorities Build back better priorities</td>
<td>1, 2, 3</td>
</tr>
<tr>
<td><strong>Exploitation of research through licencing and spin outs</strong></td>
<td>IP protection and costs associated with commercialization including contracts and licences</td>
<td>UK Road map - Supporting innovation, entrepreneurs, start-ups and increase flow of capital Industrial Strategy, Ideas, People Place.</td>
<td>1</td>
</tr>
<tr>
<td><strong>Leveraging new KE funding</strong></td>
<td>HEIF provided as match or supporting staff and student KE initiatives</td>
<td>Industrial Strategy Ideas People Place&quot;. Supporting post Covid recovery initiatives levelling up agenda. Supports enhanced employability prospects of our students.</td>
<td>1</td>
</tr>
<tr>
<td><strong>Implementation of the Knowledge Exchange Framework (KEF) and the Knowledge Exchange Concordat (KEC) action plan</strong></td>
<td>Supporting academic and professional services staff to deliver on the KEC Action plan and additional resources for software or systems to further improve our KE activities</td>
<td>Industrial Strategy-Ideas People Place Supporting post Covid recovery levelling up agenda. Supports enhanced employability prospects of our students.</td>
<td>1, 2, 3</td>
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Approx. 120 students involved in internships supporting regional and national SMEs
### Strengthening Global Influence - through KE activities in e.g. the circular economy, healthcare practices, agrifood, environmental sustainability

Building capacity for knowledge exchange and translation of research findings into practice through sustainable, long term global partnerships.

UK Road map - Supporting innovation, application and deployment
Global Britain - Build Back Better

1  2020 onwards

### 2. Enhancement of KE Management

| Scoping and establishment of the York Accelerator - the aim of the business accelerator is to position York as an entrepreneurial location and a key part of the wider innovation ecosystem across the north |
|---|---|---|
| Scoping studies, launch and ongoing management |
| UK Road map - Driving up innovation and productivity |
| Industrial Strategy - Ideas, People and Place. |
| Levelling Up agenda |
| 2, 3  2021 onwards |

| Supporting Social Enterprise - working more closely with Aspect and dedicated expertise in Social Science Exploitation |
|---|---|---|
| Support for academic staff undertaking Aspect commercialisation programmes and training Up to 10 staff per year supported through Aspect |
| UK Road Map - innovation, commercialisation |
| IS - Ideas People Place |
| UK Road map - |
| 1,3  2021 |

| Enterprise for All Agenda - establishment of the York Institute for Enterprise and Leadership which will bring together all enterprise activities across the university providing support and funding for staff, students, alumni and businesses Developing an internal KE Fellowship programme alongside improving support around accessing external KE fellowship funding |
|---|---|---|
| SME support, events and enterprise initiatives e.g. training, competitions, celebrations Staff and event costs Venture 1 funding for students and alumni start ups Support Up to 5 KE Fellows a year - buyout of time, training and other support |
| Supports enhanced employability prospects of our students. |
| Supports ideas pillar of IS, by enabling SME business growth |
| UK Road map - Inspiring and enabling talented people and teams |
| 2, 3  2022 onwards |

| Improving business engagement - maximising interactions and opportunities for industry collaboration through concerted culture change and support. Supporting skills development for business engagement in students and staff |
|---|---|---|
| Provision of increased opportunities for business interaction (events and workshops); relationship management for priority partnerships; priming funding |
| IS - Ideas People Place. |
| Driving up innovation and productivity UK Road map - Responsive innovation system |
| Build Back Better - priorities |
| 1, 2, 3  2021 |
### 3. Strategic Programmes

<table>
<thead>
<tr>
<th>Programmes</th>
<th>Description</th>
<th>Objective</th>
<th>Timeline</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Developing the York Policy Engine</strong> - to embed policy engagement across the institution</td>
<td>Core staffing (potential matched funding UoY contribution - funding for needs analysis. Funding to cover training and development of academics)</td>
<td>RE objective for HEIF Build Back Better - net zero transition, Covid 19 recovery levelling up agenda</td>
<td>1,3 2021</td>
</tr>
<tr>
<td><strong>Development of the University’s Public Engagement Strategy</strong> - improving the institution-wide support and delivery of defined PE aims including achieving the NCCPE watermark</td>
<td>Consultation costs and additional internal resources to manage and deliver the Public Engagement Strategy</td>
<td>RE objective for HEIF Build Back Better - net zero transition, Covid 19 recovery UK Road Map - place based outcomes</td>
<td>1,3 2022</td>
</tr>
<tr>
<td><strong>BioEconomy</strong> - providing support for BioYorkshire, a 10-year plan for sustainable innovation to propel the region into growing a vibrant and profitable bioeconomy - using renewable, biological resources to create greener products which minimise waste and reduce our reliance on fossil fuel.</td>
<td>Development of scoping reports for the core elements of the BioYorkshire initiative e.g. the BioYorkshire Accelerator, commercialisation activities and economic Development work</td>
<td>Levelling up agenda UK Road map - Supporting innovation, application and deployment Driving up innovation and productivity</td>
<td>1 and 3 2020 onwards</td>
</tr>
<tr>
<td><strong>Safe Autonomy and Quantum Communications</strong> - research and innovation to ensure that robotics, their software, and their communications are safe.</td>
<td>HEIF funding used to the development of reports scoping the core elements of the AAIP and commercialisation activities</td>
<td>UK Road map - IS priorities of ideas, people and place Skills and talent</td>
<td>1 and 3 2020 onwards</td>
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<tr>
<td><strong>Environmental Sustainability</strong> - ensuring our world-class research and academic outputs are linked to policy directions/positions and developing/co-creating indicators of natural capital/economy with government depts, as well as training. Focus topics include impact of chemicals in the environment, Developing Health &amp; Environment links/Planetary health; Food systems and the circular economy. Development of environmental commercial services</td>
<td>Continuing engagement stakeholders through a combination of placements/secondments (students and researchers) Development of policy docs Build external partnerships and drive applied research at the health/environment interface.</td>
<td>UK R&amp;D roadmap - Supporting post Covid-recovery Build Back Better -</td>
<td>1, 2 and 3 2021 onwards</td>
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<td><strong>Mental Health</strong> - launching and promoting the York Interdisciplinary Institute of Mental Health Research as a vehicle for knowledge mobilisation. Jointly establishing and co-locating a northern office of the Mental Health Foundation at the University of York</td>
<td>Working with the Northern Health Sciences Alliance and growing our portfolio of regional NHS Trust, third sector and local government relationships.</td>
<td>Build Back Better - levelling up agenda RE/OfS priorities - Ideas, People and Place HEIF priorities - Covid recovery IS- Ideas People Place</td>
<td>1, 2, 3</td>
</tr>
<tr>
<td><strong>Digital Creativity</strong> - a wide range of initiatives to support the growth of the Creative and Digital sector in the region including support for scoping new accelerator and direct support for digital and creative start-ups.</td>
<td>Provision of collaboration and business support for digital and creative start-ups in the city, including sector-specific training, including that focused on EDI. Engagement with local cultural and creative industries</td>
<td>Build Back Better- levelling up agenda, skills and innovation. UK Road map - solving challenges, supporting entrepreneurs, IS priorities - ideas, people and place.</td>
<td>1 and 3</td>
</tr>
<tr>
<td><strong>HealthCare Technologies</strong> - synergising expertise across the University in order to increase the number of commercialisation disclosures and make increased targeted connections to local industry and networks, which will maximise the application of research in this area.</td>
<td>Developing relationships with key stakeholders and supporting commercialisation in Health Care technologies.</td>
<td>HEIF priorities UK Roadmap - IS priorities - idea, people and place, Build Back Better agenda - innovation, skills, levelling up, Global Britain.</td>
<td>1 and 3</td>
</tr>
<tr>
<td><strong>Place, Communities and Space</strong> - connecting research with partner organisations to contribute to cultural and social wellbeing in York and beyond. Facilitating the development of key strategic themes including: supporting post-Covid recovery, supporting diversity, inclusion addressing inequalities amongst vulnerable groups developing cultural and social wellbeing</td>
<td>Supporting delivery of the community engagement events Building partnerships through co-designing/producing with local and national cultural organisations.</td>
<td>HEIF priorities Industrial Strategy - Ideas, People and Place agenda Build Back Better priorities - skills, infrastructure, innovation and levelling up.</td>
<td>1, 3</td>
</tr>
<tr>
<td><strong>Civic and regional engagement</strong> - focused and including programmes to support CYC and NYCC in their post Covid economic recovery. Development of specific initiatives to support the levelling up agenda with local and regional partners</td>
<td>Supporting academic staff to engage in the development of policy briefs, workshops and public engagement events.</td>
<td>Build Back Better- levelling up agenda, skills and innovation. UK Road map - innovation, solving challenges, IS priorities - ideas, people and place</td>
<td>2, 3</td>
</tr>
<tr>
<td><strong>Engagement with and support for arts and cultural organisations</strong></td>
<td><strong>Opportunities for student placements and business based projects</strong></td>
<td><strong>Engagement with key city stakeholders</strong></td>
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<td></td>
<td>Supports enhanced employability prospects of our students.</td>
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**Support for New Initiatives - a dedicated annual fund for investment in emerging priorities.**

| | Over the course of the HEIF strategy, changes to the topics of our strategic programmes are to be expected and anticipated: we will use flexible funding to support emerging ideas, attract new talent, create new relationships and prime new areas of KE in anticipation of some developing into strategic priority programmes. | We will remain mindful of the strategic priorities for HEIF in choosing that to support, with an aim to enhance the entrepreneurial and innovation culture of staff and students being paramount. |
| | | 1, 2, 3  |
| | | 2022 onwards |
**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.*

**Managing and Monitoring HEIF Spending**

The University runs a five-year HEIF budget so it can make strategic decisions on how the funding will be spent. When planning our HEIF funded Knowledge Exchange activities we work on the assumption that the HEIF budget will be roughly the same as the previous year.

As soon as the funding is confirmed, the following year's budget is finalised in two stages. Initially there is consultation with the PVC for Research, the PVC for Partnerships and Engagement, the Associate Director R&E (Enterprise) and the Associate Deans (Research) who review the previous years spend and recommend any changes or priorities for the following year.

Based on these conversations, a draft budget is compiled with the help of Finance and then reviewed and approved by the University Partnerships and Enterprise Committee. This is a senate level committee responsible for the governance of knowledge exchange across the institution and is chaired by the PVC for Partnerships and Enterprise and comprises senior members of professional services and academic departments.

The budget planning process considers core staffing needs as well as ongoing and new KE initiatives. By working with the Deans of each faculty and members of the University Executive Board we can ensure that HEIF is not focussed in a few discrete areas but is used to support a diverse range of KE activities across all disciplines, considering institutional priorities and strategic objectives.

Once finalised the budget spreadsheet is maintained by the R&E directorate finance manager. Monthly finance meetings are held between the R&E senior management team where an update is provided and any issues raised.

Governance of subsidiary, joint venture and spin out companies is the responsibility of Subsidiaries Management Group, Chaired by the Director of Finance.

The University Executive Board (UEB) receives quarterly reports on significant items of knowledge exchange activity from the Director for Research and Enterprise, on student enterprise from the Head of Careers and Placements and on public engagement from the Director of External Relations. Much knowledge exchange activity across the University is delivered via academic departments as normal business and overseen through regular departmental processes.

**Allocation of the HEIF Budget**
The HEIF budget is allocated across the institution, with each directorate, faculty or department, being responsible for day to day management of their dedicated budget but with overall responsibility for the total HEIF budget residing with R&E and Finance.

For example, the Careers and Placements Directorate will have a staff and an operations budget to cover a range of KE related activities for students such as enterprise training, placements and employability initiatives.

**Directorate and Departmental Allocations**

The R&E HEIF allocation is managed centrally with a core budget and devolved KE team budgets. The various KE teams submit a financial plan which is approved by the Senior Management Team in R&E. Teams are then responsible for managing their own spend.

Other directorates and departments who have HEIF allocations also manage their own spend.

Quarterly updates on all allocated budgets are prepared by Finance and reviewed by the Associate Director R&E.

Any significant variance from the planned budget is highlighted and appropriate responses developed.

**Rapid Response Awards**

Alongside the pre-planned allocation of HEIF we have a rapid response fund which allows flexible allocation of funding to support new activities. This funding is awarded via a competitive application process managed by the HEIF Management Group. The subsequent distribution and spend is monitored by the internal funding team who are responsible for the management and reporting of all internally allocated funds including the HEIF rapid response fund.

The Internal Funding Team monitors spend monthly and communicates directly with applicants if there is any significant variance from the planned budget.

These awards are also monitored by Finance and reported to the Associate Director of R&E via the quarterly updates.

**Specialist Awards**

**Venture 1**

_**York Venture One**_ provides University of York students, recent alumni and staff with the financial resources to take a business idea from concept through to early stage investment. Designed to facilitate the development of an MVP or the gathering of evidence of market demand, Venture One is a pilot initiative offering between £5,000 to £10,000 as either advance subscription or seed funding.

Allocation of funds is through a bi-annual competitive process and the fund is managed via Careers and Placements. If there are no successful applicants funding can be rolled over the second round within an academic year or after the second round any underspend is returned to the main HEIF budget and reallocated for spend in year.

The governance of this fund is managed through agreed reporting of accounts and forecasts as requested by the University within 20 business days and at least 4 weeks before the commencement of a financial period. Expenditure of the fund over £5000 must be agreed in principle by the University. The University holds participation rights in any subsequent fundraising round, investor and observer rights in the company which are all agreed as part of the initial Advance Subscription Agreement.

**Arts and Humanities Impact Accelerator Fund**
The University has made funding available from its HEIF budget to fund impact activities related to Arts & Humanities research (research aligned with AHRC subject disciplines). Funding is available by financial year, and is distributed for spending during that financial year. This fund is overseen by the faculty who run their own internal competition for funding allocation.

A comprehensive report is produced by faculty detailing the impact of HEIF funding on their activities.  

**Monitoring Progress**

Each year we review the activities that were HEIF funded, against several criteria:

- Were initially-identified goals met? (These will have been linked to University strategy and addressing Government priorities)
- What impact has the activity had on the University and its ability to deliver future innovations?
- How effectively was the activity delivered by the staff member or department?
- Is there still a need to fund this activity going forward (especially given HEIF is about innovation activity and not maintenance)?

This assessment gives us information that we use to continually improve our allocation of HEIF funding so that it is targeted at the most suitable activities and is given to staff and departments that can demonstrate that they are able to deliver to suitable quality, on time and to budget. This covers everything from staff posts that are funded, through the discretionary grants that are given to individual projects.

As Government policy is constantly changing, HEIF funded activity will also change and we are mindful not to fund the same activity repeatedly unless it can be shown clearly that the need remains.

**Quarterly Reviews**

At each quarter the full budget is reviewed and re-profiled if required. Any significant underspend is noted and where required funds are reallocated to new or existing HEIF funded activity.

**Evaluating Outcomes**

**External Benchmarking**

The University uses the HEBCI survey to monitor knowledge exchange activity at the institutional level, using income as a proxy for activity. UEB receives detailed reports both when the survey is finalised and when institutional data is released.

Quarterly raw estimates of current year HEBCIS activity are included in UEB reports with the caveat that some data is only collected annually; comprehensive data checking is also part of the annual HEBCIS collation exercise. York has rigorous data collection methods and, while aiming for continuous improvement, has a high level of confidence that the HEBCIS data it submits is robust and verifiable.

Key performance indicators are primarily drawn from HEBCIS and include absolute KE income and KE income as a proportion of total institutional turnover. Subsidiary KPIs include income from the public and private sectors and income in the main HEBCIS categories. York benchmarks its performance against the sector in these areas.

In future we will also use the Knowledge Exchange Framework results as an additional way of benchmarking our performance against the sector and develop appropriate KPIs.
The City of York commissions a regular econometric survey looking at the income gains and jobs generated within the City associated with the University, with new build activity, and with companies based on campus, and tracks growth against that of the City overall. This data is primarily used to assist the University and City with planning applications, and to raise the economic profile of the institution.

University Council discusses knowledge exchange and research impacts, skills development and employability, and regional activities and engagement on a regular basis led by reports from the relevant UEB members.

**Internal Reports/Feedback**

Alongside gathering data and case studies for HEBCIS, KEF and the HEIF annual monitoring statement the University also monitors the impact and outcomes of HEIF funded projects across the institution in a range of ways:

**Public Sector Impacts**

We measure trends in the numbers and scale of commissioned and collaborative research projects, consultancy and CPD for the public sector. We will also track impacts through case studies, some of which feature in our REF return.

**Private Sector Impacts**

We monitor the number of projects we support with HEIF and, for certain projects supported by regional development funds, we also monitor outputs and outcomes such as jobs and businesses created and increase in GVA.

**Civic Impacts**

We track the number and types of public engagement activities we conduct, and collect numerical data (reported via HEBCIS) and feedback from attendees.

**International Impacts**

We monitor the numbers and types of international partners we work with, as well as the outcomes of our projects.

**Lessons Learned**

Having evaluated the allocation profile across our facilities, we identified some potential biases towards certain disciplines. Following discussion with the University Research Committee, and recognising the importance of supporting the full breadth of KE activities across the institution, we subsequently developed a more robust approach to allocating HEIF that included the establishment of the HEIF management group with representation from across the faculties and professional services. This has resulted in a broader portfolio of HEIF funded activities that spans all faculties and increased awareness of the work it supports across the Institution.

With the impact of Covid we had to develop internal processes to allow us to respond quickly to changes in spend profiles as some projects had to be stopped, others started and some significantly modified. These processes will be one of our “Covid Keeps” as their flexibility while remaining robust will allow us to reallocate and pivot staff to work on fast turnaround projects. We also gained confidence in working with the local Council for example, in our ability to deliver programmes to tight deadlines.

The KEF return and the preparation of the KE Concordat self-assessment and action plan have also been a very good learning experience for the Institution. They have highlighted the need to increase our focus on partnership development to build more strategic relationships with industry, the public sector and to manage and support our public
engagement work in a more coherent way. All these areas are earmarked for increased HEIF spending in future years.

After the first round of investment through our Venture One fund we have improved the processes for monitoring the businesses we invest in. We are now using alumni mentors and creating a virtual board for both monitoring and overseeing the use of the funds to maximise the impact it can have at this early stage.