

**RE-P-2020-03-Annex B**

# Lancaster University

## 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](mailto: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.*

Lancaster University contributes to societal, cultural and economic development at local, national and global levels, engaging actively with partners to support innovation through knowledge exchange (KE) and collaborations that add mutual value.

We have recently published a new five-year Institutional Strategic Plan that sets our Vision: *to be a university that is globally significant – a sector leader and innovator that delivers the highest quality research and teaching, and that engages locally, nationally, and internationally on the issues and debates of the day. Driven by transformative research and stimulating learning, the globally significant university engages, informs and changes practice and thinking worldwide.*

Engagement is an institutional strategic priority that sits under this vision as an equal pillar alongside Research and Education. Its purpose is, *to engage actively with our community of communities (from local to national to global), to use our collective intellectual and wider capabilities to act as a ‘force for good’ - a facilitator that generates widespread and transformative economic and societal benefit.* Our KE portfolio is both wide and deep as we engage actively with partners and stakeholders across corporates, SMEs and entrepreneurs, public and third sectors, policy makers and investment finance. We will continue to strengthen our local, regional, national and international ties, building innovative collaborative relationships to meet the challenges of modern society and to inform and stimulate our own, and collaborative, research and teaching.

Founded in ‘place’, our national and international reputation sites Lancaster University in an ideal location to convene partnerships that can support and capitalise on Government policy for the North, including the ‘levelling up’ agenda and emergent strategies and plans including Build Back Better, the R&D Roadmap, 10 Point Plan for a Green Industrial Revolution, R&D Places Strategy, Digital Strategy, Net Zero Strategy and the new local Growth Plans. By focusing on cross-cutting synergies in research, teaching, innovation, enterprise and leadership, we can be a key catalyst in positioning the Northwest of England as a beacon for positive economic, health, social and educational change.

In advancing this Strategic Priority we will:

***Focus on high-value, high-impact projects that exploit cross-institutional and inter-institutional strengths*** – by exploiting the University’s distinctive approach we will actively pursue new opportunities and advance existing initiatives. These include, for example: our partnership with Eden International, local government and the Lancashire Enterprise Partnership to establish Eden North in Morecambe; our partnership with Barclays Eagle Labs to establish a Digital Innovation Security Hub (DISH) at GCHQ’s Manchester city-centre base; our collaboration on the N8’s Net Zero North proposal focused on the opportunities for the region to lead the national green recovery; and the opening in 2021 of the first £41M building of our Health Innovation Campus.

***Shape the wider skills agenda in the region*** – by supporting our regional network of FE colleges and universities to deliver opportunities in support of current and future skills needs across the Northwest. Examples include: our partnership with Blackpool and the Fylde College to create a ‘Multiversity’ focused on future skills; our partnership with Cumbria University to develop employer-led provision at Furness and Carlisle; our partnership with Lancaster and Morecambe College in the development of the Morecambe Bay Curriculum; our support to Lancashire’s Institute of Technology bid; and the development of clinical academic communities and collaborations with NHS trusts.

***Explore engagement opportunities in and between our overseas partner campuses*** – we will explore the potential for the University’s established principles to be adapted in

support of the needs of our campuses and related regions overseas, developing these as 'anchor institutions' in their own context, supportive of local industrial research and development, entrepreneurial growth and social improvement.

In support of this Strategic Priority we will:

- **Continue to work with existing and new partners to the benefit of Lancashire and our wider region, extending internationally where appropriate.** Central to this is the development of our Innovation Catalyst model arising from research into innovation ecosystem development in our Management School (LUMS) and refined through our learning from participation in the BEIS-sponsored pilot UK Massachusetts Institute of Technology-Regional Entrepreneurial Action Programme (MIT-REAP). In April 2021 we submitted five linked applications to regional local authorities under the new Community Renewal Fund to pilot the development of our new Innovation Campus concept and its regional engagement via place-based Innovation Catalysts. These are aimed at developing innovation ecosystems through stakeholder networks across large businesses, entrepreneurs, public/third sector, HE/FE and finance organisations, to collaborate on innovation-led recovery and encourage growth built on local strengths. Our aim is to increase the proportion of Innovation-Driven Enterprises (IDEs) in our region as key to economic recovery, rebalancing and future prosperity.
- **Capitalise on the full potential of flagship opportunities** including: Eden North; our cross-disciplinary Research Institutes and Centres including our Centre for Global Eco-Innovation's £14M Eco-I Northwest programme supporting the region's SMEs to develop new clean growth technologies and services for global markets; Security Lancaster and our recent accreditation by the National Cyber Security Centre as a nationally-leading centre of excellence in both cyber research and education; our work with the Chartered Association of Business Schools on the Help to Grow programme. All of these initiatives are aimed at enabling researchers, businesses, local authorities and policy-makers to advance local and national thinking, planning and implementation of transformative opportunities.
- **Assess and progress as appropriate, opportunities in fields that cross disciplines and sectors, private and public organisations,** including net zero and clean growth, cyber security and resilient digitalisation, health and care, innovation leadership and talent development and regional retention.
- **Deploy our students and staff as catalysts for positive change:** we are proud of our extensive use of undergraduate and graduate talent to enable KE collaborations, enhance employability, and retain expertise regionally. We also reward academic KE activity via bespoke engagement-based promotions criteria and annual staff awards. **We estimate the number of in-curricula and extra-curricula undergraduate, postgraduate and graduate KE placement and partner co-designed projects across all our HEIF funded activity to be c.1,500 p.a.**

Across the coming year we will reflect on the progress we have made over the course of our last 5-year KE Strategy, and as we begin to emerge from the pandemic, we will take the time to assess fully, relevant new national and regional strategies and policies, consult widely with our key internal and external stakeholders, undertake an external expert review across our knowledge exchange activities and engage actively in the KE Concordat development year. From this platform and set in the context of our new Institutional Strategic Plan, we will develop and publish a detailed KE Strategy setting out our refreshed and renewed plans and priorities from 2022.

## 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)

<p><b>Planned areas of HEIF supported KE activity</b></p> <p>Please provide an overview of planned KE activities or projects that will be supported by your 2021-22 and onwards HEIF allocations.</p>	<p><b>HEIF support</b></p> <p>How HEIF will be used to support the project?</p>	<p><b>HEIF priorities</b></p> <p>How does this relate to govt priorities and RE-OfS strategic objectives? (Including note of scale where student benefits are achieved.)</p>	<p><b>Strategic objectives</b></p> <p>Which institutional strategic KE objective does this relate to?</p>	<p><b>Indication of timescales</b></p>
<p>Developing external partnerships and KE Collaborations related to <b>Net Zero, Clean and Sustainable Growth and Sustainable Agriculture.</b></p> <p>This will support University Research Centres including the Centre for Global Eco-Innovation and The Pentland Centre for Sustainability in Business.</p> <p>Key external partners and initiatives engaged include Eden North, multiple NW HEIs and FE colleges, COP 26 Universities Network and the N8 Net Zero North proposal.</p> <p>Eco-I NW is a £14M ESIF project that will work with 360 SMEs across the Northwest to support R&amp;D-led innovation in clean growth technologies, products and services to drive a green economic recovery by 2023. The programme will enable businesses to capitalise on the region's knowledge base and research talent through 70 PhD and MRes studentships.</p>	<p>x3 FTE Partnership Development posts within a wider team of ~17.5 FTE KE professionals supported through a mix of regional and national funds</p> <p>Small amount of non-pay funds for consumables, marketing, travel etc.</p> <p>Partnership development further enabled through EPSRC and ESRC Impact Acceleration Account (IAA) funds</p>	<p>Supports Clean Growth Grand Challenge in Industrial Strategy and Ideas pillar by enabling SME growth and productivity, including stimulating increased R&amp;D to meet 2.4% GDP target, the Green Industrial Revolution and Levelling Up agenda within Build Back Better through concentrating activity within the Northwest and the RE/OfS objective for students to benefit from KE. Multiple KE placement and co-designed MRes/PhD projects are available.</p>	<p>Crosses all Strategic Priorities:</p> <ol style="list-style-type: none"> <li>1) Continue to work with existing and new partners</li> <li>2) Capitalise on the full potential of flagship opportunities</li> <li>3) Opportunities in fields that cross disciplines and sectors, private and public organisations</li> <li>4) Deploy our students and staff as catalysts for positive change</li> </ol>	<p>Ongoing – but activity will be reviewed during 2021-22 to ensure activities remain relevant in peri- and post-COVID landscape</p>
<p>Developing external partnerships and KE Collaborations related to <b>Cyber Security and Broader Digital and Data Driven Economy.</b></p>	<p>x3 FTE Partnership Development posts within a wider team of ~19 FTE KE professionals supported through a mix of regional and national funds</p>	<p>Supports AI and Data Economy in Industrial Strategy and Ideas pillar by enabling SME growth and productivity, including stimulating</p>	<p>Crosses all Strategic Priorities:</p> <ol style="list-style-type: none"> <li>1) Continue to work with existing and new partners</li> </ol>	<p>Ongoing – but activity will be reviewed during 2021-22 to ensure activities remain relevant in peri-</p>

<p>This will support University Research Institutes and Centres including Security Lancaster and the Data Science Institute.</p> <p>Key external partners and initiatives engaged include BT, Fujitsu, GCHQ, Barclays Eagle Labs, the Secure Digitalisation University Enterprise Zone, Health Innovation Campus, the Digital Innovation Security Hub (GCHQ Manchester), inward investment opportunities for Lancashire and the Made Smarter NW Pilot Leadership and Management Programme</p> <p>The Greater Manchester and Lancashire Cyber Foundry ESIF projects will work with a combined 250 SMEs until 2023 to develop cyber security based business growth and productivity strategies.</p>	<p>Small amount of non-pay funds for consumables, marketing, travel etc.</p> <p>Partnership development further enabled through EPSRC IAA funds</p>	<p>increased R&amp;D to meet 2.4% GDP target, the Levelling Up agenda within Build Back Better which also describes the need to nurture a safe, fair and open digital economy. Multiple co-designed KE placement and project opportunities available.</p>	<p>2) Capitalise on the full potential of flagship opportunities</p> <p>3) Opportunities in fields that cross disciplines and sectors, private and public organisations</p> <p>4) Deploy our students and staff as catalysts for positive change</p>	<p>and post-COVID landscape</p>
<p>Developing external partnerships and KE Collaborations related to <b>Materials Innovation, Energy, Quantum Technologies and associated Facilities Access.</b></p> <p>This will support University Research Institutes and Centres including Materials Science Institute, C-TAP, Cockcroft Institute, Quantum Technology Centre and Energy Lancaster.</p> <p>Key external partners and initiatives engaged include NNL, Westinghouse Springfields, Quantum Base, LiNa Energy and our Innovation Centres jointly funded with TWI.</p> <p>Two regional SME ESIF programmes in Lancashire and Cheshire and Warrington exploiting our expertise, collaborative lab space and specialist analytical equipment will collaborate with over 500 SMEs up until 2023 and use using student, graduate and postgraduate talent in delivery.</p>	<p>x4 FTE Partnership Development posts within a wider team of ~17 FTE KE professionals supported through a mix of regional and national funds</p> <p>Small amount of non-pay funds for consumables, marketing, travel etc.</p> <p>Partnership development further enabled through EPSRC and STFC IAA funds</p>	<p>Materials Innovation supports a number of the Grand Challenges in the Industrial Strategy and Ideas pillar by enabling SME growth and productivity, and the RE/OfS objective for students to benefit from KE. Multiple co-designed KE placement and project opportunities available of varying length for undergraduates, postgraduates and graduates.</p>	<p>Crosses all Strategic Priorities:</p> <p>1) Continue to work with existing and new partners</p> <p>2) Capitalise on the full potential of flagship opportunities</p> <p>3) Opportunities in fields that cross disciplines and sectors, private and public organisations</p> <p>4) Deploy our students and staff as catalysts for positive change</p>	<p>Ongoing – but activity will be reviewed during 2021-22 to ensure activities remain relevant in peri- and post-COVID landscape</p>

<p>Developing external partnerships and KE Collaborations related to <b>Health and Care Innovation</b>.</p> <p>This will further support the development of £41M, 8,000m2 Phase 1 of our Health Innovation Campus (HIC) which officially opened in Summer 2020, co-locating our Faculty of Health and Medicine alongside co-location and collaboration facilities for external private, public and third sector organisations.</p> <p>The Lancashire Health Innovation ESIF project will work with a combined &gt;300 SMEs until 2023 to explore, innovate and develop products and services for the health sector.</p>	<p>x6 FTE Partnership Development and KE support posts within a wider team of ~10 FTE KE professionals supported through a mix of internal, regional and national funds</p> <p>Small amount of non-pay funds for consumables, marketing, travel etc.</p> <p>Partnership development further enabled through EPSRC and ESRC IAA funds</p>	<p>Supports Ageing Society Grand Challenge in Industrial Strategy and Ideas pillar by enabling SME growth and productivity, including stimulating increased R&amp;D to meet 2.4% GDP target. Life Sciences Sector highlighted within Build Back Better.</p> <p>Team led local manufacturing cluster PPE and respirator response during pandemic.</p>	<p>Crosses Strategic Priorities:</p> <p>1) Continue to work with existing and new partners to the benefit of Lancashire and our wider region</p> <p>3) Opportunities in fields that cross disciplines and sectors, private and public organisations</p>	<p>Ongoing – but activity will be reviewed during 2021-22 to ensure activities remain relevant in peri- and post-COVID landscape</p>
<p>Developing external partnerships and KE Collaborations related to <b>Productivity, Leadership and Innovation</b> (led by our Management School – LUMS)</p> <p>This will support University Research Centres including the Centre for Global Eco-Innovation, HIC, Security Lancaster and The Pentland Centre for Sustainability in Business.</p> <p>Key external partners and initiatives engaged include BAE Systems, Westinghouse Springfields, Siemens, Rolls Royce, Chartered Association of Business Schools, the Made Smarter NW Pilot Leadership and Management Programme and 'Be the Business' campaign and we are the lead university in the development of the Productivity through People (PtP) Programme</p>	<p>x6 FTE Partnership Development and KE support posts within a wider team of ~19 FTE KE professionals supported through a mix of internal, regional and national funds</p> <p>Small amount of non-pay funds for consumables, marketing, travel etc.</p> <p>Partnership development further enabled through EPSRC and ESRC IAA funds</p>	<p>Build Back Better highlights a lower proportion of innovative firms overall relative to other advanced economies that need to update their <b>business models</b> and make investments in <b>new ideas</b>. Improved SME management is strongly correlated with tech adoption.</p>	<p>Crosses Strategic Priorities:</p> <p>1) Continue to work with existing and new partners to the benefit of Lancashire and our wider region</p> <p>2) Capitalise on the full potential of flagship opportunities</p>	<p>Ongoing – but activity will be reviewed during 2021-22 to ensure activities remain relevant in peri- and post-COVID landscape</p>



<p>Expansion of more national and international level programmes and partnerships and expanding non accredited CPD</p> <p>Innovation leadership projects across Lancashire and Cumbria will work with at least 400 SMEs by 2023</p> <p>Delivery of new Community Renewal Fund Innovation Catalysts will support place-based innovation ecosystem development and longer term collaborations with 100 organisations across Lancashire and Cumbria by April 2022.</p> <p>Delivery of BEIS-sponsored Hep to Grow programme with CABS to support 1000s of SMEs nationally.</p>				
<p>Developing external partnerships and KE Collaborations related to <b>Cultural bodies, Creative Industries, Public Sector and Social Innovation.</b></p> <p>This will support University Research Centres and Institutes including the Lancaster Institute of Contemporary Arts, the Institute for Social Futures and Beyond Imagination E3 Programme.</p> <p>Key external partners and initiatives engaged include the Eden North, Morecambe Bay Curriculum (with Eden International), The Ruskin Centre, strategic partner local authorities (including Blackburn with Darwen and Blackpool) and deployment of the ESRC IAA.</p>	<p>x2.4 FTE Partnership Development and KE support posts within a wider team of ~6 FTE KE professionals supported through a mix of internal and national funds</p> <p>Small amount of non-pay funds for consumables, marketing, travel etc.</p> <p>Partnership development further enabled through ESRC IAA funds</p>	<p>Industrial Strategy and Build Back Better identifies Creative Industries as a high growth sector. RE/OfS objective for students to benefit from KE.</p>	<p>Crosses Strategic Priorities:</p> <p>1) Continue to work with existing and new partners to the benefit of Lancashire and our wider region</p> <p>2) Capitalise on the full potential of flagship opportunities</p> <p>4) Deploy our students and staff as catalysts for positive change</p>	<p>Ongoing – but activity will be reviewed during 2021-22 to ensure activities remain relevant in peri- and post-COVID landscape</p>
<p>Developing KE activity related to <b>Policy Impacts and Broader Civic Engagement.</b></p> <p>This will support multiple Research Centres and Institutes and broader initiatives including Campus in the City, Eden North, the Knowledge Exchange Unit (KEU) in UK Parliament, the National Co-</p>	<p>Elements picked up across existing HEIF resources - this is an area that we are likely to grow over the next 4 year period</p>	<p>Public and Community Engagement is one of the seven KEF perspectives and it is known that a greater understanding of the</p>	<p>Crosses Strategic Priorities:</p> <p>1) Continue to work with existing and new partners to the benefit of</p>	<p>Ongoing – but activity will be reviewed during 2021-22 to determine whether more</p>

<p>ordinating Centre for Public Engagement (NCCPE), and the UPP Foundation Civic University Commission. Development of two new university centres in Carlisle and Barrow with the University of Cumbria. Development of Blackpool Multiversity with Blackpool &amp; the Fylde College.</p>		<p>impact of this activity is required.</p>	<p>Lancashire and our wider region  4) Deploy our students and staff as catalysts for positive change</p>	<p>direct investment of HEIF in this area will be made.</p>
<p><b>Underpinning operational, marketing and digital co-location support for the above themes.</b>  Focussing on improved branding, marketing, web presence and case studies supporting KEF and KEC and development of coherent policies governing co-location facilities to enable the creation of a full innovation campus – including but not limited to Lancaster Environment Centre (LEC), InfoLab21, HIC and Collaborative Technology Access Programme (cTAP) building.</p>	<p>x3 FTE KE support posts within a wider team of ~7 FTE KE professionals supported through a mix of internal and external funds  Small amount of non-pay funds for consumables, marketing, travel etc.</p>	<p>Build Back Better states we must build on our universities and a Research ecosystem that stimulates innovation through the exchange of ideas, knowledge and talent and Focus on maximising the benefits for innovation for local economies and building on local strengths</p>	<p>Crosses Strategic Priorities:  1) Continue to work with existing and new partners to the benefit of Lancashire and our wider region  2) Capitalise on the full potential of flagship opportunities</p>	<p>Ongoing – but activity will be reviewed during 2021-22 to ensure activities remain relevant in peri- and post-COVID landscape</p>
<p>Specialist support for <b>Research Commercialisation and Intellectual Property Impact.</b>  Continued implementation of the new IP Policy, leading to the development of a spin out policy and online IP Management Software Solution aligned to a new KE CRM. Further leverage of external Research Commercialisation funding schemes including ICURe NxNW and InnovateUK (such as the Cyber ASAP).  Target at least 8 patents and 2 new licencing deals pa</p>	<p>x0.72 FTE Commercialisation Impact Manager plus additional 0.85 FTE Enterprise and Research Contacts Manager supported through internal funds  Small amount of non-pay funds to support proof of concept studies engagement with external expertise when required (such as IP Pragmatics)  Partnership development further enabled through EPSRC IAA funds</p>	<p>UK R&amp;D Roadmap states the need to ensure that the UK has a world-leading research and innovation system which can support the development, demonstration and deployment of new technologies. IP and Commercialisation measure one of the seven KEF perspectives and need for clear policies, accessible and transparent policies</p>	<p>Crosses Strategic Priority  2) Capitalise on the full potential of flagship opportunities</p>	<p>Ongoing – but activity will be reviewed during 2021-22 to ensure activities remain relevant in peri- and post-COVID landscape</p>

		around this are required within the KEC.		
<p>Specialist support for <b>Consultancy</b>.</p> <p>Continued implementation of the Consultancy Policy that has seen an almost tenfold from ~£58K in 2018/19 (across 20 projects) to ~£540K in 2019/20 (across 68 projects). Expansion of the service may include proactive identification of contract research and competitive tender opportunities.</p>	<p>x1 FTE Consultancy Manager and 0.6 FTE Consultancy Support Officer</p> <p>Small amount of non-pay funds</p>	<p>Consultancy income supports both Working with Business and Working with the Public and Third Sector KEF Perspectives.</p>	<p>Crosses Strategic Priority</p> <p>2) Capitalise on the full potential of flagship opportunities</p>	<p>Ongoing – but activity will be reviewed during 2021-22 to ensure activities remain relevant in peri- and post-COVID landscape</p>
<p>Specialist support for <b>Knowledge Transfer Partnerships (KTPs)</b>.</p> <p>Live KTPs have grown from 3 in 2017/18 to 8 in 2020/21 and ambition is to grow to at least 10 live KTPs p.a.</p>	<p>x0.8 FTE KTP Manager</p> <p>Small amount of non pay funds</p>	<p>UK R&amp;D Roadmap states the need to ensure that the UK has a world-leading research and innovation system which can support the development, demonstration and deployment of new technologies towards commercial success.</p> <p>KTP income directly impacts on the Working with Business KEF perspective.</p>	<p>Crosses Strategic Priority</p> <p>2) Capitalise on the full potential of flagship opportunities</p>	<p>Ongoing – but activity will be reviewed during 2021-22 to ensure activities remain relevant in peri- and post-COVID landscape</p>
<p>Specialist support for <b>Student Enterprise and Entrepreneurship</b>.</p> <p>The Enterprise Team, operating under the brand Work in Progress (WIP), delivers innovation and entrepreneurial development opportunities, including start-up support, to students, staff and alumni, as well as Lancashire-based businesses and community organisations. The team manages a dedicated facility on the main University square</p>	<p>~3.2 FTE Enterprise Education and Programme Management posts within a wider team of ~8 FTE KE professionals supported through external funds</p> <p>Small amount of non-pay funds for consumables, marketing, travel etc.</p>	<p>RE/OfS objective for students to benefit from KE.</p> <p>Skills, Enterprise and Entrepreneurship one of the KEF perspectives - although recognise metrics might evolve.</p>	<p>Crosses Strategic Priorities:</p> <p>1) Continue to work with existing and new partners to the benefit of Lancashire and our wider region</p>	<p>Ongoing – but activity will be reviewed during 2021-22 to ensure activities remain relevant in peri- and post-COVID landscape</p>

<p>ensuring greater visibility and access to the student body. Activity is part-sponsored through Santander Universities programme.</p> <p>Target 500 potential student entrepreneurs assisted to be enterprise ready by 2023.</p> <p>The team also support the engagement of students with the activities detailed above in which we continue to utilise under- and post-graduate talent extensively in their delivery. This model provides businesses with additional absorptive capacity to drive HE-collaboration and enhance their innovation activities and directly enhances graduate employability and regional talent retention, critical to levelling-up.</p>			<p>4) Deploy our students and staff as catalysts for positive change</p>	
<p>Specialist Support for <b>Higher Level Skills, Apprenticeships and FE Partnership Development.</b></p> <p>Build on developing links with local FE partners including Blackpool &amp; the Fylde, Blackburn and Lancaster &amp; Morecambe Colleges on KE and partnership initiatives including Degree Apprenticeships, Institute of Technology proposals and developing a Lancaster presence as part developments relating to BAE Systems Barrow, Carlisle Citadels and the Blackpool “Multiversity”</p>	<p>x1 FTE Strategic Partnerships Manager</p> <p>Small amount of non-pay funds for consumables, marketing, travel etc.</p>	<p>RE/OfS objective for students to benefit from KE.</p> <p>Build Back Better describes investing and reforming further education and closer partnership working with HE can support this agenda.</p>	<p>Crosses Strategic Priority:</p> <p>1) Continue to work with existing and new partners to the benefit of Lancashire and our wider region</p>	<p>Ongoing – but activity will be reviewed during 2021-22 to ensure activities remain relevant in peri- and post-COVID landscape</p>
<p>Specialist Support for <b>Strategic Regional and Corporate Partnership Development.</b></p> <p>Working closely with regional Local Enterprise Partnerships and universities to embed Lancaster in Innovation Plans and position and inform significant future place based funding (including UK Shared Prosperity and Strength in Places).</p> <p>Development of key larger stakeholder partnerships to support those funding opportunities and wider</p>	<p>x1 FTE Business Gateway Manager and x1 FTE Lancashire Universities Innovation Manager supported by HEIF in addition to Director and Associate Director level KE roles funded internally.</p>	<p>Supports multiple priorities detailed in the Industrial Strategy, R&amp;D Roadmap and Build Back Better relating to Levelling Up, increased R&amp;D spend and productivity and the need to create ecosystems stimulating</p>	<p>Crosses Strategic Priorities:</p> <p>1) Continue to work with existing and new partners to the benefit of Lancashire and our wider region</p>	<p>Ongoing – but activity will be reviewed during 2021-22 to ensure activities remain relevant in peri- and post-COVID landscape</p>

opportunities for collaboration including BAE Systems, TWI, Eden, Westinghouse Springfields, Leonardo, InnovateUK, Fujitsu and the North West Business Leadership Team	Small amount of non-pay funds for consumables, marketing, travel etc.	innovation across ideas, knowledge and talent..	2) Capitalise on the full potential of flagship opportunities	
<p><b>Specialist Support for KE Data Analysis and CRM Development/Support.</b></p> <p>Ensure software and data management systems are fit for purpose in capturing KE related data to support HEBCI-S and KEF exercises. Particular attention focussing on those metrics and data less well understood and captured including that relating to public engagement and contributions in kind.</p> <p>Implementation of a KE specific CRM to enable better intelligence of partner activity and further embed a culture of knowledge sharing across the One Lancaster KE team.</p>	<p>x1 FTE Enterprise Analyst and x1 FTE CRM Business Analyst Role.</p> <p>Budget to support software solutions and system development to support activity.</p>	<p>Supports more accurate data collection for the KEF and inform wider debate around best metrics to show impact of KE activity.</p> <p>CRM development aids in underpinning KE structures and processes that support the KEC.</p>	<p>Crosses Strategic Priorities:</p> <p>2) Capitalise on the full potential of flagship opportunities</p> <p>4) Deploy our students and staff as catalysts for positive change</p>	Ongoing – but activity will be reviewed during 2021-22 to ensure activities remain relevant in peri- and post-COVID landscape
<p><b>Dedicated Regional SME/Innovation Support Programme Project Management.</b></p> <p>The project monitoring of all innovation collaboration support programme delivery at Lancaster is undertaken by the Project Support Unit (PSU) which is independent from the actual delivery and administration of the project.</p> <p>By the end of 2023 we will have collaborated with &gt;3,500 SMEs through these programmes since 2017.</p>	<p>~1.5 FTE specialist Project Management and Compliance KE staff supported via HEIF that sit within a wider team of ~15 FTE KE professionals supported through external funds.</p> <p>Small amount of non-pay funds for consumables, marketing, travel etc.</p>	Supports multiple priorities detailed in the Industrial Strategy, R&D Roadmap and Build Back Better relating to Levelling Up, increased R&D spend and SME productivity.	<p>Crosses Strategic Priorities:</p> <p>1) Continue to work with existing and new partners to the benefit of Lancashire and our wider region</p> <p>2) Capitalise on the full potential of flagship opportunities</p>	Ongoing – but activity will be reviewed during 2021-22 to ensure activities remain relevant in peri- and post-COVID landscape
<p><b>Strategic Investment Fund for flexible deployment</b> on emerging opportunities and those that require a more rapid response – seed funding activities, co-investment with partners, evaluation of activities</p>	HEIF budget to support as and when required, may be staff resource, consumables, travel, external consultancy etc.	Supports multiple priorities detailed in the Industrial Strategy, R&D Roadmap and Build Back Better relating to Levelling Up, increased R&D spend and SME productivity.	<p>Crosses Strategic Priorities:</p> <p>2) Capitalise on the full potential of flagship opportunities</p>	Ongoing – but activity will be reviewed during 2021-22 to ensure activities remain relevant in peri- and post-COVID landscape

### 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.*

#### **Management of HEIF**

The University has a senior Committee of Senate to oversee its knowledge exchange activities - the **Enterprise and Innovation Committee (EIC)**, chaired by the **Pro-Vice-Chancellor for Research and Enterprise (PVCRE)**. The Terms of Reference for the EIC include:

- To develop and recommend the University's knowledge exchange, enterprise, innovation and commercialisation strategy to Senate for approval;
- To ensure that the University's strategy and implementation in this area adopts best practice and adapts to international, national and regional initiatives maximising the benefit to the University and our positive external economic and societal impacts;
- To advise the Deputy Chief Executive (Operations) on the requirements of the administrative support structure to ensure opportunities in knowledge exchange, innovation and commercialisation activities are optimised;
- To: (a) provide advice to the **University Policy and Resources Group (UPRG)** on prioritising the allocation of innovation funding (e.g. HEIF); and (b) to monitor and report to the appropriate external bodies as required of any such funding;
- To recommend the definition and adoption of a series of performance indicators to track university performance in this area for approval by Senate, for onward report to Council (the University Governing Body).

The EIC is responsible for making recommendations to UPRG, chaired by our Vice-Chancellor, on internal allocations of HEIF in alignment with our Institutional Strategic Plan and priorities, as well as those set out in this and previous Knowledge Exchange strategies agreed with Research England. The PVCRE is also responsible as the Chair of the EIC to provide regular reports on HEIF expenditure against budget and on outcomes thereof to UPRG.

The PVCRE is a member of our **University Executive Board (UEB)** and has overarching responsibility for the Research pillar of our Institutional Strategic Plan, the Research Excellence Framework (REF) and our Knowledge Exchange Strategy and HEIF budget. The PVCRE is supported across these endeavours by the **Director for Research, Enterprise and Innovation (DREI)** who sits on our **Professional Services Executive Group (PSEG)** and leads our **Research and Enterprise Services (RES) Division**.

A **Pro-Vice-Chancellor-Engagement (PVCE)** provides further senior management oversight of KE and related activities alongside the PVCRE. The PVCE is responsible for the Engagement pillar of our Institutional Strategic Plan and leads on the submission of the Knowledge Exchange Framework (KEF) and implementation of the KE Concordat. Our **Engagement Advisory Group (EAG)** advises the PVCE in matters relating to KE and broader civic and community engagement activities including:

- Advising the PVCE on the University's progress against agreed relevant metrics, its engagement with the KEF, KEC and HEBCIS, as well as related consultations and statutory submissions, including those overseen by the DREI;
- Advising the PVCE on the University's fulfilment of the Civic University Agreement and in relation to any other similar such engagement schemes or commitments into which the University may enter;
- Overseeing progress and provide advice and guidance on relevant projects within the Engagement portfolio by means of reviewing periodic reports from relevant Directors, faculties and research institutes/centres;
- Overseeing and encouraging collaboration between student engagement activities and those of the wider university this may include for example, aspects of volunteering;
- Reporting to Senate periodically in relation to Engagement activity as it relates to Senate's remit.

With the advent of our new five year Strategic Institutional Plan, launched publicly on the 13<sup>th</sup> May 2021, the University is currently reviewing its governance structures, committees and associated working groups. As part of this review the PVCRE and PVCE will make recommendations on future governance arrangements across their respective portfolios and in the context of ever increasing overlaps across our research, enterprise and engagement (REE) activities.

Aligned to this, over the last summer the DREI was also appointed to a new role of **Associate Dean for Enterprise and Engagement** (cross-institutional) to work closely with both PVCs on strategic leadership across the REE portfolios. This includes co-ordination across our faculties alongside four faculty Associate Deans for Enterprise/Engagement, and to work closely with our Associate Dean for Research (Cross-Faculty) and four faculty Associate Deans for Research.

The operational oversight of HEIF and our knowledge exchange activities is undertaken by our **Associate Director of Enterprise and Innovation (ADEI)**. The ADEI coordinates management of the senior KE staff based across the faculties, working closely with our four faculty 'HEIF Leads' and Director of the Health Innovation Campus.

Our "One Lancaster" approach to KE staff brings all of our 100+ professional staff undertaking HEIF related/aligned activity formally under one cross-institutional team, enabling us to be more responsive to different opportunities emerging and able to utilise more effectively the collective expertise that exists across the University. As part of this, regular meetings are convened with faculty-based (such as the Faculty of Science and Technology) and centrally-based (those specialist roles based in RES) KE teams, reporting on activities undertaken and in the pipeline and expenditure of HEIF.

The majority of our HEIF and HEIF-related teams sit directly at the academic interface within faculties where they are best able to support academic colleagues and students to engage in knowledge exchange activities. These teams also provide support to our cross-departmental research centres, such as the Centre for Global Eco-Innovation (Case Study below), and our cross-institutional Research Institutes that include the Institute for Social Futures, Data Science Institute, Security Lancaster and the Materials Science Institute.

Our RES Division hosts a number of specialist staff that provide support across the institution in areas including Consultancy, Intellectual Property, Knowledge Transfer Partnerships, Project Support, Student Enterprise, Digital and Customer Relationship Management systems and Strategic Partnerships. We have also created a specific Enterprise Analyst post, who monitors spend of HEIF and supports accurate collection of KE related data (including metrics that support our HEBCIS return and KEF performance).

### ***Measuring Progress***

With the advent of the KEF, the University will use this as the key measure of our standing and relative performance both within our cluster and across the sector as a whole. and to assess our progress over time. We welcome both the 'normalisation' and cluster based approach of the KEF as providing a 'fairer' comparison of relative performance, and In particular hope to see the former influence future HEIF allocations. We will also continue to use HEBCIS data to understand the University's relative performance in its KE activities and further welcome the review of the survey now underway.

In 2016/17, our four faculties and RES developed strategies and action plans for how they would utilise funding allocations aligned to our recently approved 5 year Institutional Knowledge Exchange Strategy. This included forecasting delivery targets across those metrics collected as part of HEBCIS that directly contribute towards the formula used to allocate HEIF. Allocations were then recommended across the faculties and to RES by the EIC and then approved by UPRG, who made further specific recommendations on improving relative performance across key aspects of KE including contract research and consultancy. Performance against these targets and on HEIF expenditure is reported quarterly to the PVCRE and DREI and periodically to EIC, UPRG and the UEB.

We will apply a similar allocation process for the next four year delivery period recognising that we see 2021/22 as a 'transition year'. During the coming year we will:

- Reflect on the progress we have made over the course of our last 5-year KE Strategy;
- Assess fully, relevant new national and regional strategies, policies and related funding streams – this to include those of UKRI, such as the review of HEBCIS and the HEIF Formula, the Government's Build Back Better strategy, the emergent place-based Innovation and Net Zero strategies, the further development of the 2.4% and levelling-up agendas, and new post-BREXIT opportunities driven through the Community Renewal Fund and Shared Prosperity, for example;
- Seek to influence relevant emergent policies in relation to KE through active engagement with policymakers at a regional, national and where relevant international level, and through active engagement in key programmes such as the aforementioned MIT-Regional Entrepreneurial Action Programme;
- Focus on key areas of cross-institutional strength;
- Consult widely with our key internal and external stakeholders, including commissioning new market demand studies where relevant;
- Undertake an external expert review across our knowledge exchange activities, to be led by a current member of the PraxisAuril Board;
- Engage actively in the KE Concordat development year.



From this platform and set in the context of our new Institutional Strategic Plan, we will develop and publish a detailed KE Strategy setting out our refreshed and renewed plans and priorities from 2022. Our plan will focus on engaging key areas of cross-institutional research excellence to impact positively on the challenges of, and opportunities for, our region and that are also of global relevance, including; clean and sustainable growth/net zero, digital resilience and cyber security, health and social care, innovation leadership and talent as a driver of recovery and an enabler for economic growth. This plan will inform future internal allocations of HEIF and the key performance indicators set against these.

### ***Evaluating Outcomes and Identifying Lessons Learned***

We will continue to make use of HEBCIS data and increasingly the results of the KEF to better understand the University's relative performance across our knowledge exchange activities.

We have seen very positive outcomes from the adoption of our 'One Lancaster approach' across our KE teams and through our focus on continuous improvement across our KE practices and policies. For example, in the last two years our new Consultancy Policy has driven a ten-fold increase in related income streams and our new Intellectual Property Policy has driven a halving of related costs and a doubling of income over the same period.

The difficulty of assessing and measuring the longer-term impacts (social, economic and cultural) of knowledge exchange activity is well recognised, given the multiple factors that can lead to, or inhibit, change in organisations, policies, etc. However, where appropriate the University commissions socio-economic evaluations of specific areas of activity, and has developed innovative approaches such as that applied across our UKRI Impact Acceleration Accounts.

For example, in 2019 we undertook a survey of IAA funded projects using the EPSRC Quantitative Report as a basis, but supplemented these questions based on prior work by NCUB and the Judge Business School, University of Cambridge and our learning from our 2012-2017 EPSRC IAA. We did this because we considered that the outcomes, outputs and impacts sought by the EPSRC did not fully demonstrate the changes in both researchers and their partners. This includes identifying "unambiguous pathways towards impact" - how academic knowledge supports a capability change in the partner or adds value to their internal value chain (such as knowledge into products or services). Also, similar to our previous approach, we identified academic benefits from IAA collaborations to aid in promotion and further develop culture change. We also asked IAA award holders a series of Likert Scale questions to establish what distinct features of Lancaster's IAA were considered of value compared to other funding sources.

**Impacts identified by partners as a result of collaborations enabled through the EPSRC IAA were >200. We identified >300 academic benefits from IAA collaborations to aid in promotion and further develop culture change.** SMEs are partners in 41 of the 51 allocated IAA projects (80%) at Lancaster with over half of these based in the Northwest. External investment leveraged was calculated as >£8.5M which translates to a return of >£10 for every £1 of EPSRC IAA funding we received.

Lancaster also makes extensive use of European Structural & Investment Funds (ESIF) as well as LEP based (e.g. Growth Deal), national (e.g. Regional Growth Fund) and international (e.g. Interreg) funds that require us to measure both the outputs and outcomes of our KE activities, mainly through rigorous regulatory procedures. We also apply extensive formative and summative processes across our projects and programmes. These methodologies, procedures and processes applied by institutional staff are then checked/verified by funding bodies and further subjected to regular external evaluation,

enabling us to have excellent oversight of our KE activities and to refine and improve our projects and programmes continuously to maximise our outputs, outcomes and impact.

In 2019 we commissioned an independent expert consultancy, Ekosgen, to undertake an evaluation across our regional ESIF projects. Almost 200 SMEs were surveyed to assess the impact of the support they had received from the University. The evaluation provided us with an independent assessment of our work, whether our offer was fit for purpose and represented perceived and measurable value for both beneficiaries and funders.

<b>Impacts 2016-19</b>	<b>Forecast Impacts by December 2023</b>
Over 900 net FTE jobs created/safeguarded	Over 3,200 net FTE jobs created/safeguarded
A net turnover impact of almost £20m	A net turnover impact of £440m
Increased net profit of almost £1m	A net profit increase of £86m
Every £1 of ESIF returns £18.52 of additional economic benefit	Every £1 of ESIF returns £28.55 of additional economic benefit

The evaluation also considered emerging themes and the potential to improve approaches in the future. This is important not only to inform extensions of our existing programmes, but also to underpin conversations with our regional LEPs and local authorities around ESIF-successor funding schemes such as the proposed UK Shared Prosperity Fund. This will help to ensure Lancaster University continues to evolve and improve our positive contributions as a regionally engaged civic anchor institution.