

RE-P-2020-03-Annex B

Newcastle University

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.

(max 2 pages of A4)

Newcastle University is a research-intensive institution with over 6,000 staff and almost 30,000 students that is an anchor institution in the North East of England. We view Knowledge Exchange, in its broadest sense, as integral to all that we do: we exist to benefit society. We deliberately do not have a separate Knowledge Exchange (KE) strategy. Instead, knowledge exchange is embedded in our four over-arching institutional strategies: 'Education for Life' <https://www.ncl.ac.uk/students/>, '[Research for Discovery and Impact](#)', '[Engagement and Place](#)' and '[Global](#).'

All of these are embedded in our [Vision and Strategy](#), which includes three aspirational values (Excellence, Creativity and Impact). The 'Impact' value encapsulates our ambitions in knowledge exchange: '*Working in partnership with governments, industry, the creative and cultural sector, and community groups to identify the current and future challenges faced by society and to provide innovative ideas and solutions that will make*

a difference.’ We reference our Vision and Strategy document extensively in Question 2 below.

Our strategic objectives, as a research-intensive university in a region of relative economic deprivation, recognise our desire both to make a difference locally and to have significant impact globally. This dual approach reflects our history: we were founded by the pioneers of the Industrial Revolution in the North East of the 1830s and have had a long focus on the needs of the region, matched by a long-standing commitment to social justice on the global level (for example, as the only UK university to grant an honorary degree to Martin Luther King during his lifetime).

This approach is reflected in our public branding: ‘From Newcastle. For the World.’

We understand our place and have reviewed our delivery plans in light of the significant and long-term impact of Covid-19 pandemic. Implementing our strategy means simultaneously addressing the region’s relative under-performance economically and inequalities as well as finding solutions for key global challenges of our times – for example, climate change and an ageing population – through our research and education supporting knowledge exchange.

Our pioneering ‘National Innovation Centre’ model co-locates research with its end users, linking the University’s research strengths to areas of growth and KE potential. We have attracted major funding for three Centres to date – in [ageing](#), [data](#) and [rural enterprise](#), as well as the [NIHR’s Innovation Observatory](#). All of these are co-located at our award-winning [Helix](#) campus, itself an exemplar of our partnership-based approach: a landmark 24-acre hybrid city quarter in the centre of Newcastle managed as a joint venture with Newcastle City Council and Legal and General.

We have focussed many of our research and innovation activities on addressing the UN’s Sustainable Development Goals. For example, we lead two of the UK’s twelve Global Challenge Research Fund Interdisciplinary Hubs set up to tackle the world’s toughest challenges – in [Living Deltas](#) and [Water Security and Sustainable Development](#) - which involve over 90 partner organisations in 24 countries. In the 2021 Times Higher Education Impact rankings we were [placed 15th in the world](#) (third in the UK).

Our KE activity is deliberately diverse and all-inclusive. Our core value of social and environmental justice is embedded in everything we do, and we are proud of our [Social Justice Advisory Group](#) which brings together our academic and professional services colleagues with VCSE practitioners to address societal challenges. Our approach is one

of co-design and a good example is our citizen engagement network [VOICE](#) hosted by the [National Innovation Centre for Ageing](#).

We have had significant technology transfer success, particularly in drug discovery in partnership with Cancer Research UK: two drugs licensed for use and two others in clinical trials. Our economic development successes through the [Northern Accelerator](#) programme, which has dramatically increased the quality and quantity of our spin-outs, and [Arrow](#) programme, focused on supporting innovation in regional SMEs, is matched by our commitment to the cultural and creative sector in the city, including our University Museum, the [Great North Museum: Hancock](#) and Gallery, [The Hatton](#).

All of the academic and professional staff who work in KE at Newcastle work closely and effectively together, sharing experiences internally and creating opportunities for our students, as well as with numerous external partners in the Local Authorities, Combined Authorities, LEP, the NHS and local business/membership organisations, and Cultural and Community & Voluntary Sector. Our student body is increasingly engaged in KE through our START UP support programme for entrepreneurship and broader KE initiatives like engaged learning, embedded enterprise education and work experience.

Our approach to HEIF is aligned to the Knowledge Exchange Framework and our emerging Knowledge Exchange Concordat, alongside the Engage Watermark Action Plan, which will be completed by Autumn 2021. Our strategic objectives for HEIF are reflected in the table below.

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>Planned areas of HEIF supported KE activity</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>HEIF support</p> <p>How HEIF will be used to support the project?</p>	<p>HEIF priorities</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>Strategic objectives</p> <p>Which institutional strategic KE objective does this relate to?</p>	<p>Indication of timescales</p>
			<p><i>NB: All references below are to ‘Our Vision & Strategy’ document at https://www.ncl.ac.uk/media/wwwnclacuk/whoweare/files/vision-and-strategy.pdf</i></p>	
<p>Build technology transfer, business engagement and partnership activities (across the public, private and Voluntary,</p>	<p>Capacity within our Business Development and Enterprise team and programme costs</p>	<p>Supports the government’s R&D roadmap and levelling up agendas.</p> <p>Supports the ‘commercialisation/tech transfer’ and ‘facilitating the research exploitation</p>	<p>P4 – ‘Our Values’: Impact: <i>Working in partnership with governments, industry, the creative and cultural sector, and community groups to identify the current and future challenges faced by society and to provide innovative ideas and solutions that will make a difference</i></p> <p>P8/P14 - ‘Research for Discovery and Impact’: <i>‘Equip staff and students at all career stages with the skills to contribute to research and development in the academic, commercial, public and voluntary sectors.’; ‘Foster inter-disciplinary approaches and partnerships with</i></p>	<p>2021-22 onwards</p>

Community and Social Enterprise sectors)		<p><i>process’ domains of knowledge exchange.</i></p> <p>Supports OfS Objective 3 “Students are able to progress into employment...”</p>	<p><i>businesses, cultural industries and external agencies that extend the reach and impact of our research.’</i></p>	
Increase inclusive enterprise and innovation skills training, student-led knowledge exchange, work-based learning opportunities and student and graduate start-ups.	Capacity within our Careers Service and programme costs	<p>Supports government and OfS strategies for engaging students in delivering student-led knowledge exchange activities through enterprise, innovation, work experience, entrepreneurship and volunteering.</p> <p>Supports the ‘<i>skills and human capital development</i>’ and ‘<i>entrepreneurship and enterprise education</i>’ domains of knowledge exchange.</p>	<p>P 6 – ‘Education for Life’: ‘<i>Encourage and provide opportunities for multi- and inter-disciplinary encounters.</i>’; ‘<i>Empower our students to be creative, innovative, enterprising and global in their outlook.</i>’</p> <p>P8/P14 - ‘<i>Research for Discovery and Impact</i>’: ‘<i>Equip staff and students at all career stages with the skills to contribute to research and development in the academic, commercial, public and voluntary sectors.</i>’; ‘<i>Foster inter-disciplinary approaches and partnerships with businesses, cultural industries and external agencies that extend the reach and impact of our research.</i>’</p> <p>P9/P16 - ‘<i>Engagement and Place</i>’: ‘<i>Work closely with regional industries and businesses to address their needs, including those related to research and development; current skill shortages in their workforce; and their requirement for appropriately trained graduates.</i>’; ‘<i>Improve the social mobility of people from under-represented and disadvantaged backgrounds by ensuring our education is as widely accessible as possible.</i>’</p> <p>P10/P19 - ‘<i>Global</i>’: ‘<i>Provide the quality of experience that attracts and supports exceptional international students and staff from around the world.</i>’; ‘<i>Work with our partners to make a positive impact in low- and middle- income countries by addressing ‘grand challenges’ relevant to them and championing social justice.</i>’</p>	2021-22 onwards
Grow the number and scale of	Support for Northern Accelerator	Supports the ‘ <i>commercialisation/tech</i> ’	P 9 - ‘ <i>Engagement and Place</i> ’: ‘ <i>Supporting innovation and productivity in the four sectors of opportunity in North East England:</i>	2021-22 onwards

university spin-outs	Proof of Concept funding, moving promising ideas into early-stage commercial opportunities	<i>transfer</i> ' domain of knowledge exchange.	<i>digital and creative industries; advanced manufacturing; health and life sciences; and subsea, offshore and energy technologies.'</i>	
Increase innovation support to potential high-growth regional SMEs	Enabling business support programmes, including Arrow, by providing match funding	Supports the levelling-up agenda, by directly supporting small-to-medium sized businesses with growth potential in an under-performing region. Supports the ' <i>exploiting the physical assets of the HEI</i> ' domain of knowledge exchange.	P 9 - 'Engagement and Place': ' <i>Supporting innovation and productivity in the four sectors of opportunity in North East England: digital and creative industries; advanced manufacturing; health and life sciences; and subsea, offshore and energy technologies.'</i> P 9 – 'Engagement and Place': ' <i>Work closely with regional industries and businesses to address their needs, including those related to: research and development; current skill shortages in their workforce; and their requirement for appropriately trained graduates.'</i>	2021-22 onwards
Maximise the impact of our three National Innovation Centres – in ageing, data and rural enterprise through planned programmes of exhibitions, engagement, networking and	Additional support for key projects, for example Net Zero ambitions for the region, and the Campus for Ageing and Vitality.	Our National Innovation Centres support government ambition in the R&D roadmap to 'develop world-leading infrastructure and institutions' Aligned to regional strategic priorities for growth and Government's Build Back Better	P 8 – 'Research for Discovery and Impact: ' <i>Enhancing the visibility of our globally recognised strengths in Ageing and Health, Energy, Data, Cities, and Culture and Creative Arts. We will promote and support these existing strengths while also nurturing emerging areas of world-leading education and research.'</i>	2021-22 onwards

showcasing events.		Supports the <i>'facilitating the research exploitation process'</i> domain of knowledge exchange.		
Build our public engagement activity	Capacity within our Engagement & Place Team and associated programme costs, including Collaborative Newcastle, engagement with the community sector, public lecture series and programme of activity to support social justice	Supports the levelling-up agenda and ensures that societal benefit of knowledge exchange is equally as valued as the economic benefit. Aligned to Newcastle's recovery and renewal plans. Supports the <i>'community/public engagement'</i> domain of knowledge exchange Aligned to the NCCPE's Engage Watermark Action Plan	P 9 – 'Engagement and Place': <i>'Working together with partners in the city and region to co-design solutions for people and place.'</i>	2021-22 onwards
Communication of our knowledge exchange	Core support for specialist	Directly supports all our KE activity by making University	P4 – 'Our Values': Impact: <i>Working in partnership with governments, industry, the creative and cultural sector, and community groups to</i>	2021-22 onwards

activity to maximise awareness with business, public sector and other partners	communications staff	research available to the wider community. Supports the 'commercialisation/tech transfer' 'facilitating the research exploitation process' and 'exploiting the physical assets of the HEI' domains of knowledge exchange.	<i>identify the current and future challenges faced by society and to provide innovative ideas and solutions that will make a difference</i>	
Faculty-based initiatives to support domain-specific knowledge exchange activities	Discretionary funds held by Faculty Deans of Research and Innovation to support projects both proactively and in response mode	These funds can support a range of funds but are most often used to support the 'commercialisation/tech transfer' and 'facilitating the research exploitation process' domains of knowledge exchange. Guidance is provided to Faculty Deans to ensure that all spend is in accordance with the policies and priorities that apply to the use of HEIF.	P4 – 'Our Values': Impact: <i>Working in partnership with governments, industry, the creative and cultural sector, and community groups to identify the current and future challenges faced by society and to provide innovative ideas and solutions that will make a difference</i>	2021-22 onwards
Support economic regeneration in	Capacity within Projects and Partnerships	Supports the 'exploiting the physical assets of	P 9 - 'Engagement and Place': <i>'Be an outstanding partner for local government; the NHS; the voluntary, community and social enterprise sector; and cultural organisations'</i>	2021-22 onwards

the region, particularly areas that support the levelling-up agenda	team and associated programme costs, linked to strategic projects including Newcastle Helix, the Campus for Ageing & Vitality and the NE Driving the Electric Revolution (DER) Innovation Centre	<i>the HEI</i> ' domain of knowledge exchange.	P 9 – 'Engagement and Place': <i>'Work closely with regional industries and businesses to address their needs, including those related to: research and development; current skill shortages in their workforce; and their requirement for appropriately trained graduates.'</i>	
Strengthen overall capacity and capability amongst professional services and academic staff to engage in KE activity	Support our Policy and Enterprise Academies and a wide programme of support for NU Policy and Engagement activity and Policy and Evidence Hub	Supports the <i>'knowledge networks/diffusion'</i> domain of knowledge exchange	P 8 – 'Research for Discovery and Impact': <i>'Equip staff and students at all career stages with the skills to contribute to research and development in the academic, commercial, public and voluntary sectors'</i> P 9 – 'Engagement and Place': <i>'Equip academic and professional staff to address some of the policy challenges facing local, national and international governments.'</i>	2021-22 onwards
Building our engagement with key sectors	Wide programme of activity, including	Aligned to Regional Economic Recovery Plans and North of	P 8 – 'Research for Discovery and Impact': <i>'Foster inter-disciplinary approaches and partnerships with businesses, cultural industries and external agencies that extend the reach and impact of our research'</i>	2021-22 onwards

to support inclusive growth, including health and life sciences, data, clean energy and decarbonisation, creative and cultural sector	Newcastle Health Innovation Partners and strategic partnerships with our industrial and cultural partners	Tyne Combined Authority Supports the <i>'facilitating the research exploitation process'</i> and <i>'supporting the community/public engagement'</i> domains of knowledge exchange.	P 9 – 'Engagement and Place': <i>'Be an outstanding partner for local government; the NHS; the voluntary, community and social enterprise sector; and cultural organisations.'</i>	
Alignment of the Continuing Professional Development and Lifelong Learning (CPDLL) offer from the University with the needs in the region	Support for leadership of the team engaging with users of CPDLL, including strategic partners. Analysis of market needs	This activity supports the 'People' elements of Government strategy. Supports the <i>'skills and human capital development'</i> domain of knowledge exchange	P 9 – 'Engagement and Place': <i>'Improve the social mobility of people from under-represented and disadvantaged backgrounds by ensuring our education is as widely accessible as possible'</i>	2021-22 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.

(Max 4 pages of A4)

Knowledge Exchange at Newcastle University is central to our mission. Our activities in this domain are regularly presented to University Council (our governing body), University Executive Board (our senior management team) and our three Faculty Executive Boards. In addition, two University-wide committees play an active role in Knowledge Exchange policy and monitoring of progress: University Engagement and Place committee, chaired by the Pro-Vice-Chancellor of Engagement and Place; and University Research and Innovation Committee, chaired by the Pro-Vice-Chancellor of Research Strategy and Resources.

In the past two years, we have established a University-wide 'Knowledge Exchange and Policy Oversight Committee' (KEPOC), chaired by the Pro-Vice-Chancellor of Engagement and Place, with the Pro-Vice-Chancellor of Research Strategy and Resources as vice-chair. KEPOC is a formally constituted sub-committee of University Executive Board, taking day-to-day responsibility for Knowledge Exchange. It reports into University Executive Board at least twice a year. Its membership includes HEIF budget holders (for sub-domains of Innovation & Business; Engagement & Place; Lifelong Learning and Student enterprise; and faculty-based KE) and other officers as follows:

1. Pro-Vice Chancellor, Engagement & Place (Chair)
2. Pro-Vice Chancellor Research Strategy & Resources (Vice Chair)
3. Faculty Deans of Research & Innovation and Engagement and Place

4. University Dean of Innovation and Business
5. University Dean of Lifelong Learning and Professional Practice
6. University Dean of Culture and the Creative Arts
7. Co-Director Policy Academy (Deputy Director Projects & Partnerships)
8. Director of Business Development and Enterprise
9. Director of Careers Service and Deputy Academic Registrar
10. Head of Engagement
11. Head of Corporate Communications

In attendance:

Assistant Accountant, Financial Performance
Commercial Projects Team Manager, BDE-Commercial Projects
Administrator & Policy Academy Manager, Projects & Partnerships

Head of Employability, Enterprise & Entrepreneurship, Careers Service

In the context of this overall structure, we address each of the questions above as follows:

i. Managing our HEIF spending

Our HEIF budget setting and monitoring processes are managed via KEPOC. Budget setting for the next financial year starts in February. This enables two rounds of discussion to take place before a proposed budget is presented to University Executive Board (UEB) in May, as part of the wider budgeting timetable for the University as a whole. To assist with this process, a longer term HEIF allocation would aid in establishing a budget with certainty of the funding within this time frame.

The principle we have established is that, although a significant proportion of our budget is committed in advance to salaries of the key staff who support our knowledge exchange activity, we aim for maximum flexibility, including having sufficient funds available to senior staff to enable them to respond to initiatives and opportunities throughout the year.

Once the budgets have been approved at UEB, budget holders are required to report quarterly to KEPOC on their spend to date, anticipated spend to year end, and associated outcomes and outputs. A standard form (the HEIF Funding Request/Report form) is used as part of this process. To ensure compliance with Research England rules on HEIF eligible expenditure, the various guidance is circulated to all budget holders annually.

ii. Measuring progress

A dedicated member of the Finance team within the University's Professional Services is responsible for monitoring spend and cross-checking all reports made to the committee: a spreadsheet showing overall spend to date and projections against budget is presented to each meeting of the committee. Further reports are made available to the University's Financial Management and Budget Strategy Group as required.

KEPOC also has oversight of the annual HE-BCIS process and Knowledge Exchange Framework, against which we will measure KPIs.

Both the overall HEIF spend, analysis of our HE-BCIS return and KEF are presented to University Executive Board annually. In future, this will also be linked to the Knowledge Exchange Concordat Action Plan, which is currently under development.

iii. Evaluating outcomes

In addition to the regular reporting of direct and immediate outcomes at KEPOC, annual analysis of the outputs reported by HE-BCIS are reported on and discussed at KEPOC, University Engagement and Place committee, University Research and Innovation Committee and University Executive Board. Reports are also presented to Faculty Executive Boards and Faculty Research and Innovation Committees as required.

iv. Identifying lessons learned.

The July meeting of KEPOC reviews overall progress against objectives and spend against budget. It also reviews outcomes and outputs so that adjustments to overall plans can be made in the forthcoming academic year. In 2021, the pilot of the Knowledge Exchange Framework has provided additional valuable context. We are enthusiastic participants in the pilot year for the Knowledge Exchange Concordat too. We hope that future iterations of both the Framework and Concordat will assist us in evaluating our progress and making adjustments to strategy and financial commitments accordingly.