

RE-P-2020-03-Annex B

University of Plymouth

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.

The University of Plymouth has a proud heritage as an institution that makes a difference, with an over-arching vision to **“be a broad-based, research-intensive university, open to all who can benefit from a University of Plymouth education, and delivering excellent interdisciplinary research, experiential education and civic engagement”**.

A commitment to deliver impact as a Civic University, regionally, nationally and globally runs through, and is reflected in, key institutional strategies, in particular its Research and Innovation Strategy, and its International Strategy

At the highest level the University has developed an ambitious strategy ([University 2030 – a Future of Excellence](#)) which has as one of its Core Principles

“Building our institutional reputation through confidence in our pioneering contributions, excellence in education and research, socio-economic impact, and thought leadership”, with a strategic priority to “achieve influence and impact through significant industry and business partnerships”.

Underpinning the University Strategy is a Strategy Implementation Plan (Jan 2021) which identifies priority actions to deliver the strategy, with the following directly linked to our priorities for HEIF investment:

- Taking a leading role in supporting regional economic growth through research and innovation
- Supporting student start ups via regional and local business / The Cube
- Maximising opportunities for commercialisation
- Review of approach to IP exploitation
- Playing a full contribution to local strategy via LEP etc (including sector specific interest groups)
- Business support for creative sector through The Bridge
- Consolidating engagement and partnership activity with the NHS, Social Care, Health industries etc

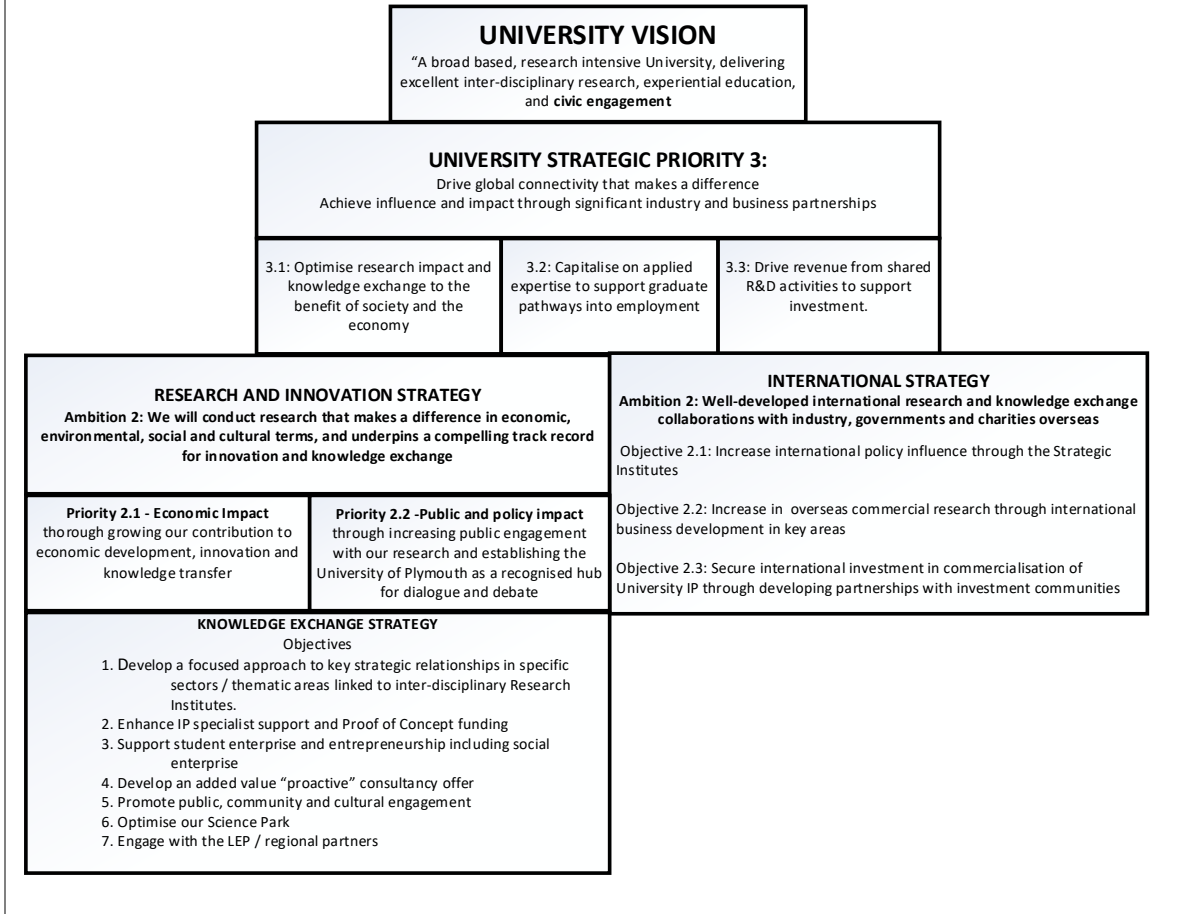
The University's 5 year Research and Innovation Strategy (2017-2022), which is currently being refreshed in the light of the University's 2030 strategy, has as one of its ambitions that ***"We will conduct research that makes a difference in economic, environmental, social and cultural terms, and underpins a compelling track record for innovation and knowledge exchange because our research achieves impact by positively influencing non-academic stakeholders from the private, public and third sectors, as well as the general public"***

The R&I strategy includes objectives to deliver:

- Economic impact through growing our contribution to economic development, innovation and knowledge transfer
- Public and policy impact through increasing public engagement with our research and establishing the University of Plymouth as a recognised hub for dialogue and debate.

Sitting beneath this, our KE strategy outlines seven key objectives for translation of research, and delivering impact, while our recently developed International Strategy has three KE related objectives. Increasingly we are looking to embed KE within other strategies and the refreshed Research and Innovation Strategy will clearly integrate KE as a core component of our research activities, rather than having a separate KE strategy.

The following schematic clearly demonstrates how Knowledge exchange, and civic engagement run through our strategy, and underpin our HEIF priorities outlined in the next section.



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><u>IP Matters - Tech Transfer Office</u></p> <p>HEIF will be used to support commercialisation of IP as a key mechanism to deliver impact from research. HEIF funding will support a specialist advisory service for academic staff in IP protection and the development of exploitation roadmaps, including establishment of Spin Out companies and patent portfolio management.</p>	<p>2 IP Managers (100% HEIF funded)</p> <p>Annual Proof of Concept budget</p> <p>Annual patent budget (inc legal costs)</p> <p>0.3 FTE Legal support</p>	<p>This aligns with the UK R&D Roadmap which states: <i>“accelerating the journey between concept and commercial application is critical to securing the contribution of our world-class research base to productivity, growth and social benefits”</i></p>	<p>UoP Strategic Priority 3.1 - Optimise research impact and knowledge exchange to the benefit of society and the economy</p> <p>R&I Priority 2.1 - growing our contribution to economic development, innovation and knowledge transfer</p> <p>KE Strategy Objective 2 - Enhance IP specialist support and Proof of Concept funding</p> <p>International Strategy Objective 2.3 - Secure international investment in commercialisation of University IP through developing partnerships with investment communities</p>	<p>2021-22 onwards</p>

<p>Commercial Contracts Office</p> <p>HEIF will support dedicated central specialist capacity to encourage and facilitate the provision of impactful commercial research and consultancy support by academics to businesses and other organisations to support policy making, and the development of new products, services and processes. Support provided includes business development contract negotiation, due diligence, and project management.</p>	<p>2 FTE Commercial Funding Managers</p> <p>0.3 FTE Legal support</p> <p>0.5 FTE Funding Advisor (costings)</p>	<p>As above, this aligns with the UK R&D Roadmap which states: <i>“accelerating the journey between concept and commercial application is critical to securing the contribution of our world-class research base to productivity, growth and social benefits”</i></p>	<p>UoP Strategic Priority 3.1 - Optimise research impact and knowledge exchange to the benefit of society and the economy</p> <p>R&I Priority 2.1 - growing our contribution to economic development, innovation and knowledge transfer</p> <p>KE Strategy Objective 4 - Develop an added value “proactive” consultancy offer</p> <p>International Strategy Objective 2.2: Increase in overseas commercial research through international business development in key areas</p>	<p>2021-22 onwards</p>
<p><u>The Cube</u></p> <p>HEIF will support central staff supporting student enterprise and entrepreneurship through a rolling programme of one to many and one to one support, involving private sector partners, including support for graduate start ups</p>	<p>2 FTE Student Enterprise support staff</p> <p>Marketing and events costs</p>	<p>The HEIF Policies and Priorities document includes “entrepreneurship and enterprise education” including enterprise and entrepreneurship</p>	<p>UoP Strategic Priority 3.2 - Capitalise on applied expertise to support graduate pathways into employment</p> <p>KE Strategy Objective 3 - Support student</p>	<p>2021-22 onwards</p>

Target to support 1000 students p/a		training as an eligible KE activity	enterprise and entrepreneurship	
<p>Regional Innovation Support</p> <p>HEIF will continue to enable a programme of strategic and practical support to regional SMEs to enable them to develop new products services and processes, through partnership development, collaborative R&D projects, KTPs etc, with the aim to raise levels of regional innovation, and address the challenge of low productivity in the region. HEIF funding will complement existing University activity in this area including the three Cornwall Innovation Centres, the Brixham Environmental Lab, Plymouth Science Park and funded programmes such as Acceleration Through Innovation (ATI) and Plymouth Materials Characterisation project (PMCP). Specific HEIF funded support will include:</p> <p><u>Enterprise Solutions</u></p> <p>A Business Development and “One stop shop” brokerage service for external organisations seeking University support to help them innovate and grow</p> <p>Regional Innovation Programme</p> <p>A focused approach to supporting the development of collaborative R&D projects and programmes including KTPs, as well as</p>	<p>3 FTE Business Engagement and Business Development staff</p> <p>1 FTE KTP Manager</p> <p>2 FTE Regional Innovation Programme staff</p>	<p>This clearly aligns with the Innovation Pillar of Build Back Better, in “Encouraging the adoption and diffusion of innovative ideas and technologies across the economy” and supporting “our small and medium-sized enterprises (SMEs) to grow”</p> <p>The regional focus also aligns with “The UK government’s most important mission .. to .. level up the country” by “leveraging the capability of the UK’s geographically dispersed R&D assets, maximising the benefits of innovation for local economies and</p>	<p>UoP Strategic Priority 3.1 - Optimise research impact and knowledge exchange to the benefit of society and the economy</p> <p>3.3 - Drive revenue from shared R&D activities to support investment.</p> <p>R&I Priority 2.1 - growing our contribution to economic development, innovation and knowledge transfer</p> <p>KE Strategy Objective 6 - Optimise our Science Park</p> <p>7 - Engage with the LEP / regional partners</p>	2021-22 onwards

<p>supporting development of regional innovation policy collaborative R&D etc</p> <p>COVID Recovery</p> <p>In 2021-2 specific initiatives (including an R&D solutions Fund) will be targeted at supporting post Covid recovery with regional SMEs</p>		<p><i>building on local strengths</i></p>		
<p>KS3 - Key Sector Support Programme</p> <p>A programme of support for key industrial sectors aligned with the research strengths of the University – to develop new collaborative R&D partnerships and projects, and deliver regional and national economic benefits. The initial focus will be on marine, health and creative sectors, but this will be regularly reviewed in the light of national and University priorities</p> <p>Marine Sector – support for regional and national partnerships, aligned with Ocean Futures, and with key priorities being:</p> <ul style="list-style-type: none"> • Maritime Cyber Security • Autonomous systems • Offshore renewable energy <p>Health Sector - HEIF will continue to support activities related to the development of health and care innovation, including the Plymouth Health Innovation Alliance - an interdisciplinary, cross-sector partnership dedicated to developing the profile of and maximising opportunities for health-related</p>	<p>1 FTE (50% HEIF funded) Marine and maritime business development role</p> <p>1 FTE (50% HEIF funded) Health Innovation Alliance Manager</p> <p>1 FTE (85% HEIF funded) Health Sector Partnerships Lead</p>	<p>Aligns with the aim in Building Back better of <i>“Backing the sectors and technologies that will shape the UK’s future”</i> and complements activities outlined in the UK R&D Roadmap to provide <i>“support for particular sectors including through structures such as sector councils.... and knowledge exchange collaborations around the UK”</i></p>	<p>UoP Strategic Priority 3.1 - Optimise research impact and knowledge exchange to the benefit of society and the economy</p> <p>R&I Priority 2.1 - growing our contribution to economic development, innovation and knowledge transfer</p> <p>KE Strategy Objective 1 - Develop a focused approach to key strategic relationships in specific sectors / thematic areas linked to inter-disciplinary Research Institutes.</p>	<p>2021-2 onwards</p>

<p>research, innovation, knowledge exchange, research and development led business growth and inward investment in Plymouth and the South West region Health.</p> <p>Creative Sector - In terms of the creative and cultural sectors, HEIF will continue to support The Bridge – a Creative Sector focused KE programme, linking academics and students with businesses in the creative economy to drive innovation and economic growth</p>	<p>1 FTE (85% HEIF Funded) – Creative Sector Partnerships Lead</p> <p>Revenue support for creative sector KE activities</p>			
<p>Plymouth Public Engagement Programme</p> <p>HEIF will enable the establishment of a new specialist support service for public engagement in, and with, research, which will bring together and add value to existing HEIF and non-HEIF supported activities</p> <p>This will include the establishment of a Community Research Programme that will partner researchers and community organisations in addressing research challenges that benefit the community and provide routeways to impact.</p>	<p>1 FTE Public Engagement Manager</p> <p>Revenue support for public engagement activities led by the University’s Strategic Institutes, and for the establishment of a Community Research Programme</p>	<p>The UK R&D Roadmap states that research “<i>needs to be underpinned by engagement with the users of research and the wider public</i>”</p>	<p>UoP Strategic Priority 3.1 - Optimise research impact and knowledge exchange to the benefit of society and the economy</p> <p>R&I Strategy Priority 2.2 - increasing public engagement with our research and establishing the University of Plymouth as a recognised hub for dialogue and debate</p> <p>KE Strategy Objective 5 - Promote public, community and cultural engagement</p> <p>International Strategy Objective 2.1: Increase</p>	<p>2021-2 onwards</p>

			international policy influence through the Strategic Institutes	
<p>KE Capacity Building Programme</p> <p>To ensure that capacity to engage with knowledge exchange activities is embedded across the academic community, an annual capacity building programme will be established, aimed at Early and mid-career researchers, and covering all aspects of KE including policy engagement, IP exploitation etc to enable productive interaction between the business and academic communities which is often impeded by a shortage of the relevant knowledge and skills in research translation</p>	Revenue support for KE training and development programme	Enhancing capability and capacity for KE internally is aligned with the overarching aim of the UK R&D Roadmap to “Capture the economic and social benefit from research through improvements to innovation, knowledge exchange and scale-up” and specifically reflects that “Commercial and entrepreneurial skills and a mindset of enterprise and innovation are important across all academic disciplines to effectively leverage R&D investments”	UoP Strategic Priority 3.1 - Optimise research impact and knowledge exchange to the benefit of society and the economy	2021-2 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.

i) Managing our HEIF spending

The University of Plymouth has well established accounting procedures including separate account codes to identify all direct project costs. The University of Plymouth has a good track record of successful internal and external audits throughout its core and project funded activity. These robust procedures and policies are applied to HEIF funded activity and all policies such as our financial regulations and Declaration of Interest Policy are adhered to.

Spend is managed at the operational level by a member of staff from the Finance Directorate and a member of staff from Research and Innovation (R&I). They report quarterly to the Directorate of R&I on the progress of HEIF spend. They actively engage with staff allocated HEIF and request a schedule of spend which they monitor against. Each activity is given a separate work code allowing spend to be monitored and reported.

ii) Measuring progress

When HEIF funding has been allocated to a new area of activity or new post, processes are set in place to measure progress and impact. These are specific to the activity and vary accordingly to the size of spend and type of activity. For example with a HEIF funded post, probation and job objectives might be the most appropriate to measure progress whereas with a new initiative or activity, a more output based approach will be agreed.

Regular monitoring review meetings will be held and a schedule with a monitoring agreement will be put in place to ensure this happens in a timely manner.

iii) Evaluating Outcomes

We have adopted the HEIF logic model developed by SQW for Research England (Knowledge Exchange Funding: Novel Evaluation Methodologies 2020) as a framework for evaluating outcomes from our HEIF funding. The list of outcomes and outputs brings standardisation to HEIF investments although we encourage capturing unintended impact at a local level as well. Projects funded by HEIF are provided with the HEIF logic model to help them develop their monitoring systems.

Inputs	Activities	Outputs	Outcomes
<ul style="list-style-type: none"> HEIF funding Other sources of funding (e.g. research councils, government, seedcorn funding, venture capital, tuition fees) Time from HEI staff (incl. tech transfer office) Time from partner organisations Time from beneficiaries (academic, students, external businesses etc.) Pre-existing knowledge & technical understanding Institutional missions and capabilities Regional/ local contextual factors (incl. ecosystems, key stakeholders) Pre-existing networks & partnerships HEI assets, facilities & equipment Research pipeline (with commercialisation potential) 	<ul style="list-style-type: none"> Support on knowledge ownership (e.g. patenting, IP, legal advice/ management) Support for pilot / innovative KE projects / activities Management of investment funding (e.g. seed finance for spin-outs) & investor networks Intelligence & analysis (e.g. commercial due diligence, technology sourcing) Pro-active business development (e.g. partner identification, facilitation of collaborative/contract research) Consultancy (management, delivery, case making) Management & facilitation of assets (e.g. specialist research facilities/equipment; science parks/incubators etc.) Provision of specialist staff time/wrap-around support (e.g. value-added services for established firms & or start-ups; proof-of-concept activities) Facilitation / strategic engagement between academics & external groups Formation/leaderships/access to networks & communities of interest Training provision (e.g. CPD/short courses/lifelong learning, enterprise/entrepreneurship) Curriculum development Development of community infrastructure/ social cohesion Student & staff volunteering Awareness raising (e.g. public lectures) 	<ul style="list-style-type: none"> Individuals supported with commercialisation advice Patents/disclosures filed Licenses granted Concepts & technologies identified/validated Connections made between potential investors & entrepreneurs Businesses engaged/supported, including SMEs Collaborative research/consultancy projects secured & supported New relationships & partnerships established (research, strategic etc.) Funding bids/business cases developed Organisations/individuals supported with value-added services Organisations/ individuals accessing specialist equipment Organisations attracted to science parks/incubators/accelerators etc KE events delivered/hosted/supported Businesses/external organisations, identified & engaged Formal/informal networks established Strategies/plans developed/influenced Latest research/best practice shared Individuals trained (in businesses, students, HEI staff, wider community) Qualifications secured New/revised curricula developed Work placements delivered Social capital developed Participation in community/social projects & programmes Attendance at awareness raising/KE events (e.g. public lectures) 	<p>For engaged individuals & businesses</p> <ul style="list-style-type: none"> Patents granted New businesses created (including spin-offs) Jobs created (in new business created & established businesses supported) Enhanced capacity to secure finance/investment, & finance/investment secured (public, private, third sector) Improved knowledge of opportunities around KE/ entrepreneurship New/improved skills developed Raised educational/career participation/aspirations Business outcomes incl. innovation/sales/productivity/progression of technology through TRL stages/new products developed <p>For institutions</p> <ul style="list-style-type: none"> Enhanced relationship with businesses & external organisations (incl. public and third sector organisations) Stronger & more expansive/divers networks & partnerships developed, enabling further KE activity Achievement of institutional objectives/strategies Enhanced HEI reputation Enhanced student/staff satisfaction Improved teaching & research capabilities Increased capacity/expertise around KE & research exploitation Increased collaboration with local actors, informing policy making & improving alignment between national & institutional strategy Income generation as an enabler for further activity <p>For society & the economy</p> <ul style="list-style-type: none"> New/enhanced workforce skills (meeting national skills needs) Enhanced innovation ecosystems Increased student/graduate retention for local/regional areas Improved ability for areas to deliver against strategic priorities Enhanced social & community capital & capacity Improved policy/public service development through: access to research, enhanced engagement, new partnerships with public/third sector Wider economic benefits incl. increased employment, exports, local/regional economic growth

Within the Research and Innovation Directorate, we have a specialist evaluation unit, SERIO, who provide support with the evaluation of KE activity. As well as being available to support staff with monitoring and evaluation, they undertake targeted evaluation of HEIF funded activity. We have developed a two year rolling programme of KE evaluation which includes evaluating against our strategic objectives and Government priorities. These targeted evaluations include:

- Review of monitoring data
- Review (with evaluation tools)
- Beneficiary interviews/surveys
- Tracking of impact against strategic priorities
- Strategic interviews

- Recommendations for continuous improvement

The two year programme (20/22) includes the evaluation of the impact of KTPs, the business engagement gateway, student KE, the virtual public engagement programme and IP and commercialisation activity.

iv: Lessons learned

Internally: Evaluation findings are reviewed within the Research and Innovation Directorate and fed back into decision making for future investment. They are also discussed at specialist KE meetings, such as IP and commercialisation or business engagement. Bi-monthly we bring together over 50 staff who work on KE activity (both academic and professional services) and evaluation forms part of the agenda. At a governance level, we report evaluation findings and lessons learned to the Research and Innovation Committee who have responsibility for the Research and Innovation Strategy.

Externally: We share lessons learned with the sector via networks, specialist groups, awards and webinars. We use this process to help benchmark performance in a continuous cycle of review and improvement.