

RE-P-2020-03-Annex B

University of Derby

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

Queries to: KEPolicy@re.ukri.org

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Question 1 – Strategic objectives

Summarise the institutional strategic objectives that relate to knowledge exchange and guide your plans for HEIF.

We expect institutions' plans for HEIF to be guided by strategic objectives for knowledge exchange. However, there is no requirement for institutions to submit or maintain a standalone knowledge exchange strategy document.

We appreciate that KE objectives may be found in a specific KE strategy document or they may be contained as part of other strategic documents such as teaching, research or overarching institutional strategies.

Whatever form your knowledge exchange objectives are in, please provide a precis of the main objectives here so that we can see the strategic context that guides your plans for HEIF and forms the basis for your monitoring and delivery of intended benefits.

We welcome the inclusion of hyperlinks to published strategies and plans that may be referenced in the summary.

In answer to this question, you are free to use text or tabular format but please ensure that the question response is contained in no more than two pages of A4.

The University of Derby is the *only* higher education institution in Derbyshire and our [Strategic Framework 2018-2030](#) articulates our role of '[Being a Force for Positive Impact](#)' on the economic, social, cultural, educational and environmental prosperity of our home. We are proud to be amongst the first universities to pledge a commitment to produce a [Civic University Agreement](#).

'*Opening Doors for Everyone*' is a key pillar of the University of Derby's Strategic Framework which informs our strategic approach to knowledge exchange. We believe in the transformational nature of education and, as a champion of social mobility, we strive to inspire and create opportunities for all.

The University's **Innovation and Research Strategy (2020-2026)** sets a clear direction of travel for knowledge exchange activity and HEIF investment over the period 20/21-24/25, with six priority objectives:

Objective	
1	Investing in Talent: Expanding our capability to create knowledge and deliver innovation.
2	Growing Innovation: Advancing our knowledge, through our public, private and third sector partners, to enable innovation and create impact.
3	Regional Impact: Working with local partners and stakeholders to tackle social, environmental and economic challenges.
4	Empowering Graduates: Enabling our students to engage in impact driven research and knowledge exchange.
5	Stimulating Business: Creating an ecosystem for the University and its partners to commercialise ideas.
6	Delivering Assurance: Improve performance, efficiency and effectiveness of processes and management of risk.

Alongside this Innovation and Research Strategy, an Academic 5-year Plan identifies 6 areas of academic focus each of which provides significant opportunity for Knowledge Exchange activity leading to economic or societal benefit (including in sectors identified by Government as key targets for future economic growth and job creation).

6 Areas of Academic Focus:

- 1. Public Service**
- 2. Business, Economic and Social Policy**
- 3. Net Zero Carbon**
- 4. Data Science**
- 5. Biomedical Science**
- 6. Creative Industries**

In addition, a Civic University Agreement was approved by Vice-Chancellor's Executive in February 2021. Whilst its scope is broader than Knowledge Exchange, it will complement the strategic direction outlined above and will both formalise and capture the wider economic, societal and cultural benefits of the University to its region.

The slide below illustrates how Knowledge Exchange is a core element of the University's strategic planning framework:

AN APPLIED UNIVERSITY OF TODAY AND FOR TOMORROW

GAME CHANGERS

Student Success

POSITIVE IMPACT

Anchor Institution

OPENING DOORS

Social / Update Mobility

Profile, influence and impact built around **six core areas of academic excellence**

Greater physical presence in the city of Derby through the landmark Business School building

True **Social Mobility** embedded at the heart of our academic offer

Momentum and status in **Research, Innovation and Enterprise** further built post REF-2021 submission

Academic model that is fully aligned to **regional skills needs** and drives improved student numbers and student outcomes

Longer-term **financial sustainability** secured through a well-managed cost base and well-structured product mix

Public Service | Business, Economic & Social Policy | Data Science | Biomedical Science | Creative Industries | Net Zero Carbon

Teaching & Learning | Research, Knowledge Exchange & Innovation | Internationalisation | Civic & Community

People | Estates | Digital | Recruitment | Brand | Finance & Investment | Alumni & Development | Employability | Partnerships | Business Analytics

Student Satisfaction

Graduate Outcomes

Market Share

Research Quality

Civic Impact

Knowledge Exchange & Innovation

Enterprise

Access & Participation

Value Added

Skills

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>Support for institutional infrastructure for KE activity (including filling gaps identified through KE Concordat)</p>	<p>Staff costs in Business Gateway (HEIF100%)</p> <p>KE roles in URKEO (HEIF100%)</p> <p>BDM roles in Colleges (HEIF 100%)</p> <p>B2B Marketing (HEIF100%)</p> <p>Non-pay costs e.g. CRM/database access/support for Concordat/KE professional memberships (HEIF 100%)</p>	<p>Industrial Strategy – Ideas strand</p> <p>Build Back Better Plan for Growth – Innovation; Levelling Up</p> <p>KE Concordat</p>	<p>Objective 2 Growing Innovation</p> <p>Objective 6 Delivering Assurance</p>	<p>On-going</p>
<p>Programme of business support activity to drive up innovation and productivity in region's SMEs (<i>Innovate UK, ESIF, BEIS, LGF etc</i>)</p>	<p>Staff match funding for ESIF related roles including Compliance.</p> <p>KE dedicated staff in research centres/areas of academic focus (HEIF 100%)</p>	<p>Build Back Better Plan for Growth – Innovation; Levelling Up; Transition to Net Zero Carbon</p>	<p>Objective 2 Growing Innovation</p> <p>Objective 3 Regional Impact</p>	<p>On-going (n.b. ESIF activity ends 31st Dec 2023)</p>

	Academic buy-out delivering part-funded KE projects (HEIF 50%)	Industrial Strategy – Ideas and Place strands UK R&D Roadmap – Driving Up Innovation & Productivity; Levelling Up R&D Covid-19 Recovery Estimate 130 new research collaborations; 250 interventions supporting SMEs		
Engagement of students and graduates in KE activity (leading to enhanced employability)	Staff match for ESIF project activity e.g. Internships/Placements; Industrial MPhils/PhDs; KEIs (HEIF 100%) and short KE internships (HEIF 100%) Pilot activity linked to new Learning & Teaching Strategy in 21/22 (HEIF TBC)	Industrial Strategy – People strand UK R&D Roadmap - Inspiring & Enabling Talented People & Teams OfS Priority Student Engagement in KE: estimate 600 students directly involved	Objective 4 Empowering Graduates	On-going

Focus on developing KE activity with public and third sector collaborative partners	Consultancy Manager funded post (HEIF100%) to be based in URKEO includes facilitating KE policy and processes and enabling more academics to undertake KE through consultancy assignments Further tactical actions TBC (HEIF TBC)	Industrial Strategy – Ideas strand; Place strand KEF	Objective 2 Growing Innovation	On-going
Development of a Researcher Academy to include a strong KE element	Consultancy support to provide external advice on the establishment of an innovative Researcher Academy with a strong KE element reflecting the applied focus of UoD (HEIF 50% contribution reflecting KE/Research split)	UK R&D Roadmap – Inspiring & Enabling Talented People & Teams Industrial Strategy – People strand KE Concordat	Objective 1 Investing in Talent	On-going
Staff Development to strengthen KE capabilities in academic workforce	URKEO Staff development funded post - KE and KEF awareness (HEIF 50%) Development of KE modules in Researcher Development Programme (HEIF 100%)	Industrial Strategy – People strand UK R&D Roadmap – Inspiring and Enabling Talented People and Teams KE Concordat	Objective 1 Investing in Talent	On-going
Development of KE Strands within 6 Academic Areas of Focus 1. Public Service	Internal project seed-corn funding – competitive process	Industrial Strategy – Ideas strand	Objective 1 Investing in Talent	

<ul style="list-style-type: none"> 2. Business, Economic and Social Policy 3. Net Zero Carbon 4. Data Science 5. Biomedical Science 6. Creative Industries 	(HEIF 100%)	<p>Build Back Better Plan for Growth – Innovation, Transition to Net Zero Carbon & Levelling Up</p> <p>UK R&D Roadmap – Levelling up R&D</p>	<p>Objective 2 Growing Innovation</p> <p>Objective 3 Regional Impact</p> <p>Objective 4 Empowering Graduates</p>	
Enterprise & Entrepreneurship - develop and co-ordinate an enterprise eco-system with the City and encourage entrepreneurial staff and students to transition their research into impact	<p>Staff funding for incubation service (HEIF 100%)</p> <p>Staff funding for IP & Commercialisation (HEIF 100%)</p>	<p>UK R&D Roadmap – support entrepreneurs and start-ups</p> <p>Covid-19 Recovery</p>	Objective 5 Stimulating Business	On-going
Development of Strategic Partnerships related to KE e.g. MoU with regional stakeholders and preparation for launch of Shared Prosperity Fund and other place-based initiatives	<p>Staff costs (HEIF 100%)</p> <p>Non-pay costs (HEIF 100%)</p>	<p>Industrial Strategy – Place</p> <p>Build Back Better – Levelling Up</p> <p>UK R&D Roadmap – Fostering Greater Collaboration</p> <p>Covid-19 Recovery</p>	Objective 2 Growing Innovation	On-going
Achieve NCCPE Watermark to ensure public engagement is at a sector recognised standard of excellence	Non-pay budget est. £10k	KE Concordat	Objective 3 Regional Impact	2021/2- 2022/3

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 Spending

HEIF spending is managed by the University Research and Knowledge Exchange Office (URKEO) and Finance Department.

URKEO is responsible for co-ordinating the submission of HEIF Annual Monitoring Statements with the Finance Department sourcing expenditure reports from the finance system (Oracle). The Provost Innovation & Research approves the HEIF AMS before submission to the Vice-Chancellor for formal institutional approval.

URKEO is responsible for ensuring that all activity and expenditure included in the HEIF AMS is eligible.

Measuring Progress

Regular reports on progress against the Innovation & Research Delivery Plan are submitted to the University Innovation & Research Committee.

Institutional Success Measures (ISMs) for Research & Knowledge Exchange are monitored by the Vice-Chancellors Executive. These focus on key areas of performance and are developed and reviewed annually. Current ISM and lead indicators include:

- Cumulative KEF scores for Local Growth & Regeneration; Working with Business; Research Partnerships);
- Balance between working with business and Public/Third Sector partners (KEF Perspectives 2 & 3)
- Commercialisation of the Knowledge Base
- Pipeline of Employer Partnerships (volume and quality)

The KE metrics reported to HESA through Part B of the annual HE-BCIS return are reviewed by Vice-Chancellor's Executive, University Innovation & Research Committee and Academic Board. This includes an analysis of year-on-year changes. In April 2021 this has been supplemented by a review of the first iteration of the Knowledge Exchange Framework.

Work is still on-going to review our Institutional KEF results against our cluster group (J) and the sector. This review will inform the development of tactical actions and revised Institutional Success Measures for areas of strategic significance.

A significant amount of Knowledge Exchange project activity and performance is overseen by the University ESIF and Local Growth Programme Management Group (PMG). PMG currently oversees a portfolio of knowledge exchange projects worth approx. £10m.

PMG meets on a quarterly basis and is chaired by the Provost Innovation & Research. Reports are received on project delivery progress and a traffic light risk rating system is used to identify projects that are at risk of falling behind their delivery profile.

PMG provides summary progress reports to University Innovation & Research Committee and also Vice Chancellors Executive which enables concerns to be escalated to ensure mitigating action is taken.

Evaluating Outcomes

The University of Derby has signed up to participate in the KEF Concordat development year. A KE Concordat Working Group has been established. It is chaired by the Provost Innovation & Research and involves staff from relevant areas across the institution. Again, progress is being reported to the University Innovation & Research Committee and Academic Board.

Evaluation of KE outcomes is being considered under Principles 7 and 8 of the KE Concordat self-assessment exercise.

To date, evaluation of outcomes has either been driven at a KE project level (depending on contractual terms and funding) or where linked to a formal Impact Case Study.

However, the recently developed Civic Agreement and commitment to seek the National Co-ordinating Centre for Public Engagement's (NCCPE) Watermark will, alongside the KE Concordat, bring a renewed focus on evaluation of activity to capture economic, societal and cultural benefit.

Identifying Lessons Learned

In addition to work undertaken as part of the KE Concordat, the University is currently implementing a Research Management System (HAPLO). The Institution's commitment to this significant infrastructure investment illustrates how research and KE activity has grown and matured at the University. The HAPLO system is being designed to introduce a formal project closure process which will capture lessons learned. URKEO staff will systematically review project closure reports ensuring that lessons learned are shared as necessary (including through formal channels where appropriate e.g. University Professoriate and University Innovation & Research Committee) to inform future KE activity.