

# Guidance for 2024-25 HEIF annual monitoring statement

Guidance to support completion of the 2024-25 HEIF annual monitoring statement (AMS).

Queries should be directed to Sacha Ayres, Senior Policy Adviser, [kepolicy@re.ukri.org](mailto:kepolicy@re.ukri.org)

## Purpose of HEIF annual monitoring statement

HEIF supports a broad range of knowledge exchange activities between higher education providers and external partners, delivering benefits to the economy and society.

Institutions receiving HEIF must, as a condition of grant, submit a plan outlining how the funding will be used in line with government priorities going forward and provide annual monitoring detailing how the previous allocation was spent.

In 2021, HEIF Accountability Statements were submitted following the request in the [2020 HEIF policies and priorities](#). The 2021 statements set out institutional HEIF plans for the funding period up to 31 July 2025. The 2024-25 HEIF monitoring data is therefore provided in relation to the 2021 accountability statements.

The HEIF AMS provides assurance that HEIF is used effectively and delivers value for money. Specifically, it aims to:

- Verify spending to confirm HEIF and associated supplements were used for eligible activities during the funding period.
- Monitor underspends to ensure any previously approved underspends have been resolved.
- Collect expenditure data about how funding has been allocated across a range of KE categories to inform long term evaluation and return-on-investment analysis.
- Inform policy by collecting provide sector-wide data on HEIF use, including impacts of additional funding.
- Track progress to show how allocations supported the objectives set out in 2021 Accountability Statements.
- Monitor strategic changes to identify shifts in KE objectives due to institutional or funding changes.
- Monitor sector risk to provide a mid-allocation overview to identify potential underspend risks. Contents

## 2021 Accountability statements

The 2021 Accountability Statements are available for reference from the HEIF webpages as follows:

- [arts cluster accountability statements](#)
- [cluster E accountability statements](#)
- [cluster J accountability statements](#)
- [cluster M accountability statements](#)
- [STEM cluster accountability statements](#)
- [cluster V accountability statements](#)
- [cluster X accountability statements.](#)

## Accessing the HEIF annual monitoring documents

The HEIF AMS documentation is distributed and submitted via the [Research England data portal](#) using an online submission template. Heads of institution and nominated KE contacts are notified by email when the AMS documents are published on the data portal.

### HEIF monitoring documentation provided

The data portal will provide the following AMS documents for each provider:

#### For completion

- Link to the 2024-25 HEIF AMS online survey
- 2024-25 financial return Excel template (Table B) – to be completed and uploaded via the survey

#### For reference

- 2024-25 HEIF AMS guidance document
- Replica of online AMS template in Word format – for internal collaboration and approval only. Submissions will only be accepted via the online template.

## Accessing previous submissions

The 'HEIF Annual Monitoring Survey archive' data release provides access to PDF copies of AMS submissions and query correspondence from 2023-24 and 2022-23.

## HEIF 2024-25 AMS Structure

### Part A: Narrative Questions

Part A is primarily concerned with how institutions used the 2024-25 HEIF allocation and any related supplements to support their strategic objectives for KE. It is particularly valuable as a rich evidence base to support the value of HEIF with examples of what is being achieved by institutions.

This information is collected via an online submission template. Responses prepared in the Word format replica may be copy and pasted into the online survey in rich text format.

- KE Contact Details – confirm or update the details held by Research England
- Accountability for 2025-26 – confirmation of the basis for accountability for the current 2025-26 allocation
- 2024-25 HEIF monitoring – main update on how the 2024-25 allocation was used
- Business & commercialisation supplement – update on how the 2024-25 supplement was used
- Additional evidence – request for additional information to estimate the extent that HEIF is used to scale business

## **Part B: Financial Return**

Part B is the core financial information collected in relation to how institutions have allocated their HEIF allocations across a number of expenditure and infrastructure categories. This information provides key verification that HEIF funds are being used within the spending year. It also provides particular value as a key evidence source, when combined with other data, for to estimate return on investment of HEIF.

- Table B – upload completed excel finance report setting out how the 2024-25 HEIF allocation and B&C supplements were allocated
- Current Spend Position – indicate underspend risk for current allocation to inform sector level risk assessment

## **Part C: Institutional Approval**

Confirmation that the completed submission has been through relevant institutional approval processes.

# **How to complete Table B: Financial return**

Table B requires institutions to report all actual spend against one of three expenditure main categories. Each expenditure category total should then be sub-divided, using percentages, between seven infrastructure sub-categories

Refer to Annex A for a detailed worked example of how to complete the excel template.

## **Expenditure categories**

The three main expenditure categories to report actual expenditure in £000s are:

### **Investment in dedicated KE staff**

Costs of employing and supporting staff involved directly in KE (e.g. KE offices; enterprise offices).

### **Investment in academic staff**

Cost of KE training for academics and buying the time of academics for KE activity, as well as supporting salaries for leadership in KE.

## **Expenditure towards other costs**

Non staff costs related to all forms of KE projects including proof of concept, matched and seed funding and pump-priming or events.

## **Infrastructure categories**

Within each 'type of expenditure' institutions must also estimate the proportion of allocated funds (or of time supported from the funds) that has been focused on the following categories of infrastructure/activity. The percentages within each 'type of expenditure' must sum to 100%.

The infrastructure categories are listed below, and examples of included activities are provided at Annex B:

- Facilitating the research exploitation process (non-technology transfer)
- Commercialisation of research (technology transfer)
- Skills and human capital development
- Knowledge sharing and diffusion
- Supporting the community and public engagement
- Enterprise and entrepreneurship
- Exploiting the physical assets of the HEI

## **Research England review process**

The HEIF AMS submissions will be subject to review by Research England. Where we need further information or clarification about an element of the submission we will contact the nominated KE contact by email.

Institutions can normally expect to receive any queries during May or June. The query process will continue with dialogue between the institution and Research England until a resolution is found.

Where no queries are raised, or any raised queries have been fully resolved, Research England will provide formal confirmation by email to the nominated KE contact and Head of Institution that the AMS submission has been approved and the process is complete.

Institutions can normally expect that the AMS review process will be completed by July.

## **Contact for queries**

In case of questions please contact Sacha Ayres, Senior Policy Adviser on 07895 209010 or [kepolicy@re.ukri.org](mailto:kepolicy@re.ukri.org).

# Annex A – Worked example to complete finance table

Table 1 presents an extract from a fictional finance submission, showing how the activities listed below are converted into the numerical finance return. Figure 1 (on page 7) illustrates how this extracted information fits within the overall template layout.

For the purposes of the example, we have only used the ‘Dedicated KE staff’ expenditure category. The infrastructure categories are replicated across each of the three expenditure categories.

## Worked example

In this worked example the institution has received a total HEIF allocation of £2m and it has chosen to allocate £1m of this to dedicated knowledge exchange staff to support a range of KE activities across the infrastructure categories.

Of the funds allocated to dedicated KE staff, the institution has estimated the percentage of this money (or % of KE staff time) that has been focused on the different categories of infrastructure/activity. Within a single expenditure category, the total percentage estimated across all infrastructure categories must sum to 100%.

Refer to Annex B for infrastructure category definitions.

### Activities and how translated to infrastructure categories

University Research Contract office to negotiate on behalf of the university where required for contract research £280k. This would be reported under ‘facilitating the research and exploitation process (non TT)’ as 28%

Tech transfer office to support programme of commercialisation activities £340k. This would be reported under ‘commercialisation (tech transfer)’ as 34%

CPD development team to work with local business partners to develop and deliver bespoke CPD content and programmes to meet local business needs £150k. This would be reported under ‘skills and human capital development’ as 15%

Fixed term post in the alumni office for the development of regional alumni networks initiative £50k. This would be reported under ‘knowledge sharing and diffusion’ as 5%

Public engagement team to lead organisation of ‘Festival of ideas’ in partnership with local council £100k. This would be reported under ‘supporting the community / public engagement’ as 10%.

Part time post in human resources team to develop mentoring programme for entrepreneurial skills for academic staff and students £30k. This would be reported under ‘enterprise and entrepreneurship’ as 3%.

Business development officer to manage the exploitation of specialist laboratory equipment with external partners £50k. This would be reported under ‘exploiting the HEI’s physical assets’ as 5%.

**Table 1 - Extract from HEIF AMS financial report template showing the worked example**

Breakdown by expenditure category	Breakdown by infrastructure category	2024-25 HEIF
<b>Ai. Total HEIF Allocation</b>	Total allocation	<b>2,000</b>
<b>B. Dedicated KE staff</b>	<b>Funds used (£000s)</b>	<b>1,000</b>
KE staff infrastructure category	Facilitating the research and exploitation process (non TT)	28%
KE staff infrastructure category	Commercialisation (technology transfer)	34%
KE staff infrastructure category	Skills and human capital development	15%
KE staff infrastructure category	Knowledge sharing and diffusion	5%
KE staff infrastructure category	Supporting the community/public engagement	10%
KE staff infrastructure category	Enterprise and entrepreneurship	3%
KE staff infrastructure category	Exploiting the HEI's physical assets	5%
Summed total	<b>Total dedicated KE staff (should sum to 100%)</b>	<b>100%</b>

**Figure 1 – Illustration of where the example extract sits in finance template layout**

Table B Use of 2024-25 HEIF & B&C supplement allocations for Poppleton University

UKPRN: 99999999

Note: 'HEP' = 'higher education provider'; 'HEIF' = 'Higher Education Innovation Funding'; 'KE' = 'knowledge exchange'; 'B&C' = 'Business & Commercialisation supplement to HEIF'  
TT = 'technology transfer', including additional allocation for top cap

Please return data in the blue cells only

Note: All monies should be returned in units of £1,000 and rounded to the nearest £1,000. In addition, the total funds used (E38/F38) should be greater than £0 and equal to the value in entered in E9/F9.

Your workbook has passed all validation checks

Breakdown by expenditure category	Breakdown by infrastructure category	Previously reported spend		Your workbook has passed all validation checks		
		2023-24 HEIF Business & Commercialisation supplement	2023-24 HEIF allocation	2024-25 HEIF Business & Commercialisation supplement	2024-25 HEIF allocation	
<b>Ai. Total funds received (£000s)</b>		189	1,987	177	2,000	
<b>Aii. Total funds used (£000s)</b>		189	1,987	177	2,000	
<i>Of your total allocation, how much has been allocated to the following types of expenditure (the sum of B, C and D should equal Aii):</i>						
<b>B. Dedicated KE staff</b>	<b>Funds used (£000s)</b>	100	1,000	100	1,000	
<i>Of the funds allocated to dedicated KE staff, please estimate the % of this money (or % of KE staff time) that has been focused on the following categories of infrastructure/activity (should sum to 100%)</i>	<i>Facilitating the research and exploitation process (non TT)</i>	50%	50%	50%	28%	
	<i>Commercialisation (technology transfer)</i>	25%	25%	25%	34%	
	<i>Skills and human capital development</i>	25%	25%	25%	15%	
	<i>Knowledge sharing and diffusion</i>	0%	0%	0%	5%	
	<i>Supporting the community/public engagement</i>	0%	0%	0%	10%	
	<i>Enterprise and entrepreneurship</i>	0%	0%	0%	3%	
	<i>Exploiting the HEP's physical assets</i>	0%	0%	0%	5%	
	<b>Total dedicated KE staff (should sum to 100%)</b>		100%	100%	100%	100%
	<b>C. Academic staff KE activity (including buying out academic time to engage in KE)</b>	<b>Funds used (£000s)</b>	50	500	50	500
<i>Of the funds allocated to academic KE activity, please estimate the % of this money (or % of academic time supported from the funds) that has been focused on the following categories of infrastructure/activity (should sum to 100%)</i>	<i>Facilitating the research and exploitation process (non TT)</i>	25%	25%	25%	25%	
	<i>Commercialisation (technology transfer)</i>	0%	0%	0%	0%	
	<i>Skills and human capital development</i>	25%	25%	25%	25%	
	<i>Knowledge sharing and diffusion</i>	0%	0%	0%	0%	
	<i>Supporting the community/public engagement</i>	25%	25%	25%	25%	
	<i>Enterprise and entrepreneurship</i>	25%	25%	25%	25%	
	<i>Exploiting the HEP's physical assets</i>	0%	0%	0%	0%	
	<b>Total academic KE activity (should sum to 100%)</b>		100%	100%	100%	100%
	<b>D. Other costs and initiatives</b>	<b>Funds used (£000s)</b>	39	487	27	500
<i>Of the funds allocated to other costs and initiatives, please estimate the % of this money that has been focused on the following categories of infrastructure/activity (should sum to 100%)</i>	<i>Facilitating the research and exploitation process (non TT)</i>	0%	0%	0%	0%	
	<i>Commercialisation (technology transfer)</i>	0%	0%	0%	0%	
	<i>Skills and human capital development</i>	0%	0%	0%	0%	
	<i>Knowledge sharing and diffusion</i>	0%	0%	0%	0%	
	<i>Supporting the community/public engagement</i>	100%	100%	100%	100%	
	<i>Enterprise and entrepreneurship</i>	0%	0%	0%	0%	
	<i>Exploiting the HEP's physical assets</i>	0%	0%	0%	0%	
	<b>Total other costs and initiatives (should sum to 100%)</b>		100%	100%	100%	100%
	<b>E. Total funds used (£000s)</b>		189	1,987	177	2,000

# Annex B – Finance reporting categories

Provided below are examples of activities that may be found within each infrastructure category, these are not exhaustive lists.

## Infrastructure categories

### Facilitating the research exploitation process (non-technology transfer)

E.g. Business development including facilitating collaborative research, contract research, developing capabilities and supporting academics to exploit research exploitation opportunities and providing client, legal support and IP advice; Consultancy services including consultancy delivery, managing academic consultancy activities and supporting case making; External relations including identification and engagement with strategic partners, external research fundraising, network management and events and student placements; Press communications and marketing including both online and offline marketing and communications; Dialogue with policy-makers; Supporting access points for external organisations.

### Commercialisation of research (technology transfer)

E.g. Support for intelligence and analysis including due diligence and market analysis; Support for knowledge ownership including patenting, IP, legal, licensing, start up and marketing advice; Investment funding including seed funding start-ups and spin-offs, supporting translational funding applications, management of investment networks and collaborative investment funds; Pro-active business development including identifying and engaging with key partners.

### Skills and human capital development

E.g. Supporting development and delivery of CPD/short courses for career development, bespoke training, business skills and entrepreneurship etc.; Lifelong learning including for academics and students, professional and personal education and employability; Work placements and project experience for apprenticeships, internships or work experience and support for work-based placements and student consultancy projects; Curriculum development with external partners.

### Knowledge sharing and diffusion

E.g. Facilitating engagement between academics and external organisations through meetings, conferences with external partners, networking events, award ceremonies and academic/business staff exchanges; Formation and management of alumni networks including mentoring/coaching services on employability, entrepreneurship and research commercialisation or management of investor/business angel networks and associated competitions; Support of engagement with KE professional network activity such as staff placements and exchanges.

## **Supporting the community and public engagement**

E.g. Supporting public engagement in research (PER) including pilot initiatives to public engagement; Developing community and social capital including hosting participative community projects, programmes and events, working with at-risk social groups; Supporting student and staff volunteering such as voluntary services, community projects, study or work abroad programmes and young person mentoring; Supporting knowledge diffusion including public lectures, exhibitions or museum education (noting overlap with specific knowledge sharing and diffusion category); Supporting social cohesion such as hosting information hubs or working with local charities.

## **Enterprise and entrepreneurship**

E.g. Enterprise and entrepreneurship training for academics and students, including support for staff engagement in enterprise, enterprise-related careers advice to students, social enterprise and entrepreneurs in residence.

## **Exploiting the physical assets of the HEI**

E.g. Support for science parks including managing specialist facilities, providing value-added services for established firms and marketing and media activity; Providing start-up or entrepreneurship support including leasing flexible spaces, providing value-added services for start-ups, virtual incubation services and accelerator schemes; Supporting business enabling facilities including managing specialist equipment and specialist spaces with associated support services to support other KE activity.