



# 2023-24 HEIF Annual Monitoring Statement

## Guidance document

<b>For the attention of</b>	Nominated knowledge exchange contact
<b>Purpose</b>	Guidance to support the completion of the 2023-24 HEIF Annual Monitoring Statement
<b>Enquiries to</b>	Laura O'Brien, Senior Policy Adviser, <a href="mailto:KEPolicy@re.ukri.org">KEPolicy@re.ukri.org</a>

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## I. Purpose of HEIF Annual Monitoring Statement (AMS)

1. Higher Education Innovation Funding (HEIF) is provided to support and develop a broad range of knowledge-based interactions between higher education providers (HEPs) and the wider world, which results in benefits to the economy and society.
2. The government sets high-level priorities for the use of HEIF, reflected in periodic HEIF guidance and in Department of Science, Innovation & Technology (DSIT) Research England annual funding and priorities letters. Through the [2021 HEIF Accountability Statements](#) we verified that institutions' strategic objectives guiding their plans for HEIF were linked to government priorities.
3. All approved provider Accountability Statements are available via the Research England website, grouped by knowledge exchange (KE) cluster 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](#).
4. The HEIF AMS is collected by Research England to further verify that HEIF has been used to meet those strategic objectives and delivers value for money, specifically:
  - a. To verify that that HEIF and related KE funding allocations have been spent in the funding period in support of eligible knowledge exchange activities. This information provides ongoing assurance and accountability for the use of HEIF.
  - b. To confirm that any previously approved underspends have been fully resolved in the subsequent funding period.
  - c. To gather estimated proportions of funding allocated to different types of KE expenditure. This information is utilised periodically to inform research evaluation undertaken to estimate the benefits delivered by HEIF (return on investment) by linking HEIF allocations through infrastructure categories with HE-BCI outputs. Further information on this evidence work can be viewed at the [University Commercialisation and Innovation Policy Evidence Unit](#).
  - d. To collate sector-wide information on the use of HEIF, including changes resulting from any additional funding made available for a given allocation year, to inform funding policy.
  - e. To understand how HEIF and related KE allocations have been used, at a practical level, to progress the objectives set out in the 2021 HEIF Accountability Statements. This information informs funding policy, supports our ability to respond to questions from government departments and provides an evidence base for future spending reviews.
  - f. To monitor changes to strategic objectives for knowledge exchange, either as a result of institutional changes or in response to Research England funding objectives. This information informs our continuing assurance and accountability for the use of HEIF.
  - g. To provide the opportunity to seek assurance and information around the purpose of additional funding, where this becomes available within an Accountability Statement funding period.
  - h. To provide a sector overview of HEIF spend mid-way through the current allocation period. This information enables us to monitor risk of underspend at a sector level.



## II. Research England review process

5. The HEIF Annual Monitoring Statements are subject to the following review process:
  - a. All HEIF AMS submissions undergo internal review by Research England staff.
    - i. The narrative reviews verify that HEIF has been used appropriately in support of knowledge exchange.
    - ii. Financial statement review examines the spend position against previous years to verify that allocations have been fully utilised as planned.
  - b. Where we require further information we will issue a query, this will generally be for the following reasons:
    - i. Where the spend position is not clear from the information provided.
    - ii. Where it is not clear from the information provided how HEIF has been used in support of knowledge exchange activities, or whether the activity supported was eligible for HEIF funding.
  - c. Where queries have arisen from the review, Research England will contact the nominated KE contact to request further information or clarification. Institutions can normally expect to receive any queries during May or June 2025. The query process will continue with dialogue between the institution and Research England until a resolution is found.
  - d. 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 2025.

## III. Access to the Research England Data Portal for the 2023-24 HEIF AMS survey

### What is the Research England Data Portal?

6. For the first time in 2023-24, we will be collating Annual Monitoring Statements using an online survey tool, accessed via the Research England (RE) Data Portal.
  - a. The narrative return is to be entered directly into the survey.
  - b. The financial return is to be completed using the provided Excel template, then uploaded to the survey.
7. The RE Data Portal was launched in April 2023. The portal is a platform for sharing important funding-related data and documents with HEPs in a secure manner.
8. For the purpose of the HEIF AMS process, the 'HEIF Annual Monitoring Survey' data collection area will be available on the RE Data Portal to those with appropriate access. This area will provide a secure link to the AMS survey as well as relevant templates/documents required.

### Who can access HEIF monitoring via the Data Portal?

9. Access to the RE Data Portal for your institution is managed by two institutional 'admin users' of the portal. These individuals were nominated by your Head of Institution over the last year to manage access for all relevant colleagues. Admin users have the authority to create and manage user accounts within each institution to relevant parts of the portal.



10. These Data Portal admin users will also manage who has access to the HEIF monitoring templates via the 'HEIF Annual Monitoring Survey' data collection area. To enable access for an individual, the admin user will need to create an account for that person and add them to the 'HEIF Annual Monitoring Survey' data collection area.
11. Access to this area will enable those individuals to log in, download relevant templates, and access and complete the survey.
12. More information on Data Portal access, including multi-factor authentication, is available under [VI. Frequently asked questions \(FAQs\)](#).

#### What files will be provided in the portal?

13. The RE Data Portal will contain the following files and downloadable documents for each provider:
  - a. Link to the 2023-24 HEIF AMS survey
  - b. 2023-24 financial return Excel template (Table B) – to be completed and uploaded via the survey tool

#### For reference only:

- c. Link to the 2023-24 HEIF AMS guidance document
- d. 2023-24 narrative return template (Document A) in Word format – for internal collaboration only, marked 'not for submission'
- e. Last year's 2022-23 narrative return in PDF format (if applicable)
- f. Last year's 2022-23 finance return in PDF format (if applicable)
- g. Last year's 2022-23 query correspondence (if applicable)

## IV. Step by step: How to submit the 2023-24 HEIF AMS return via the RE Data Portal

14. Log into the RE Data Portal via <https://redata.services.ukri.org/>.
15. Find the link to the survey within the 'HEIF Annual Monitoring Survey' data collection area of the portal. Select the data release 'HEIF Annual Monitoring Statement (AMS) 2023-24'.
16. Click on the survey link to access the survey tool. Re-enter your login details if prompted.
17. The survey is split into three parts:
  - a. **Part A:** Institution-specific narrative questions (Questions 1-5)
  - b. **Part B:** Funding and expenditure (Questions 6 and 7)
  - c. **Part C:** Institutional approval – Research England expect the KE funding monitoring return to be approved by an appropriate senior manager before submission, as this ensures that the information is validated independently by someone other than the person responsible for compiling the return. It is up to each institution to determine its own process for checking the accuracy and sign-off of the information it provides, for both your own and Research England's auditing purposes.
18. Complete and submit the survey, referring to [V. Survey contents](#) for detailed information on each question.
19. Any queries about the annual monitoring process should be directed to Laura O'Brien via [KEPolicy@re.ukri.org](mailto:KEPolicy@re.ukri.org).



## V. Survey contents

### Question 1 - Knowledge Exchange contact details

20. This section has been pre-populated with the contact information currently held by Research England for the Head of Institution, knowledge exchange main contact and any additional contacts you wish to be CC'd into communications about your HEIF.
21. Please confirm any changes to these contact details here, if applicable.

### Question 2 - Use of HEIF and progress against strategic objectives

22. Question 2 requests a narrative update on how you have used your 2023-24 HEIF allocation to further your strategic objectives for KE and highlight any achievements or progress made against your strategic objectives.
23. The purpose of this question is to enable us to understand how you are using HEIF to further your objectives, and any particular achievements or progress made in relation to the plans you have outlined in previous submissions.
24. In addition to providing assurance on the use of public funding, responses to this question also enable us to continue building a strong evidence base for the value of HEIF and we welcome inclusion of particularly strong examples of impactful use of HEIF.

### Question 3 - HEIF business and commercialisation supplement

25. This question is intended to provide additional assurance on the use of the business and commercialisation funding stream provided in the 2023-24 allocation period.
26. The additional funds for the HEIF business and commercialisation supplement must be used entirely for, and additionally to use of HEIF for, business and commercialisation activity. Further information about the additional business and commercialisation supplement was provided in the November 2022 Research England policy publication [Knowledge Exchange: business and commercialisation](#).
27. Responses should include explicit reference to the following aspects:
  - a. knowledge exchange nature of the activities, for example how have external partners benefited from the activity;
  - b. in what way the funding supported the activities, for example staff posts, matched funding or innovation vouchers;
  - c. confirmation that that the activity was additional to any previously planned activities for your HEIF supplement;
  - d. any impact achieved to date from the additional funding (if applicable).

### Question 4 - Regional Innovation Fund (non-recurrent funding)

28. This question is intended to provide additional assurance on the use of the Regional Innovation Fund (RIF) provided in the 2023-24 allocation period.
29. The additional funds for the RIF must only be used for knowledge exchange (activities must involve an external (to the HEP) partner), and must have specifically been used for activities focussed particularly on business engagement and that further economic growth and productivity, and those activities must have been to address local/regional priorities.



30. Many HEPs provided examples of how they had spent their RIF to date in March 2023. If you previously provided examples and nothing has changed, then the same data can be included in this question.
31. Responses should include explicit reference to the following aspects:
- knowledge exchange nature of the activities, for example how have external partners benefited from the activity;
  - in what way the funding supported the activities, e.g. staff posts, facility refurbishment etc.;
  - how the activities focused on business engagement to further economic growth and productivity;
  - any impact achieved to date from the additional funding (if applicable).

### Question 5 - Changes to strategic objectives

32. This question asks whether you have made any significant changes to the strategic objectives for knowledge exchange, as summarised in your 2021 HEIF Accountability Statement, which would impact your plans for HEIF.
33. In July 2020 we published [RE-P-2020-03 HEIF policies and priorities 2020-21 to 2024-25](#). This document set out our accountability requirements for the funding period 2020-21 to 2024-25 which included asking about your strategic objectives for knowledge exchange and your plans for HEIF. Formal approval of your Accountability Statement was confirmed to you in the summer of 2021. The 2021 HEIF Accountability Statements for all providers have been [published](#) by Research England.
34. Please provide a brief summary of these changes here. If the additional business & commercialisation funding stream resulted in any changes to your overarching strategic objectives for knowledge exchange, please also note them in response to this question.
35. If there are no changes to report, no response is required.

### Question 6 - Table B - HEIF allocation spend profile 2023-24

36. This question requires the completion and return of the HEIF-specific pre-populated spreadsheet 'Table B'. Please download the 2023-24 financial return template (Table B) from the RE Data Portal.
37. This is to report actual HEIF spend during the 2023-24 funding year and to provide a breakdown of how the funding was allocated across pre-determined 'type of expenditure' and 'infrastructure categories' (detailed below).
38. Table B includes pre-populated columns for reference (showing previous 2022-23 spend) and columns for completion by the HEP:
39. **For reference: Previously reported spend** – the template is pre-populated to show the spend reported in the 2022-23 AMS return, including for:
- 2022-23 Non-recurrent KE** – The spend reported against your non-recurrent KE funding allocation (if applicable).

**Context:** In late 2021, Research England announced extraordinary, one-year funding for HEPs who were eligible to receive HEIF but did not qualify for it. The funding was renewed for a second year (2022-2023). Data will only be populated in this column for providers who did **not** receive a 2022-23 HEIF allocation.



- b. **2022-23 HEIF allocation** – The spend reported against your 2022-23 HEIF allocation (if applicable).
40. **For completion: 2023-24 spend** – the template is pre-populated to show the following KE funding allocations and providers should complete the cells shaded in blue to show how the funding was utilised.
- a. **2023-24 HEIF Business & Commercialisation supplement** – In 2023-24 providers received an additional supplement for business and commercialisation activity.
  - b. **2023-24 HEIF allocation** – The HEIF allocation provided to you in 2023-24.

## Table B reporting categories

### Expenditure categories

41. Table B will require you to break down your actual expenditure by **'type of expenditure'**:
- a. **Investment in dedicated KE staff:** Costs of employing and supporting staff involved directly in KE (e.g. KE offices; enterprise offices).
  - b. **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.
  - c. **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

42. Within each 'type of expenditure' we also require you to 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 A](#) with a worked example of how to break down activity provided at [Annex B](#):
- a. Facilitating the research exploitation process (non-technology transfer)
  - b. Commercialisation of research (technology transfer)
  - c. Skills and human capital development
  - d. Knowledge sharing and diffusion
  - e. Supporting the community and public engagement
  - f. Enterprise and entrepreneurship
  - g. Exploiting the physical assets of the HEI

## Question 7 - Current 2023-24 HEIF allocation spend position

43. This question asks about your spend position for the current allocation period. It is a general principle of Research England's knowledge exchange funding that we do not fund in advance of need (see [RE-P-2020-03 HEIF policies and priorities 2020-21 to 2024-25](#)). We therefore expect each HEIF allocation to be spent in full by the end of the allocation period at the end of July.
44. The 2023-24 AMS is retrospective, looking backwards and issued mid-way through the 2024-25 allocation period. The purpose of this question is to assist Research England to identify, at a sector level, the risk of underspends to the overarching 2024-25 HEIF allocation.





45. If you wish to discuss any potential underspends in relation to your own allocation, either in advance of formal notification, or to provide formal notification, please contact the team directly via [KEPolicy@re.ukri.org](mailto:KEPolicy@re.ukri.org). Please do not use the HEIF annual monitoring process to request permission for an underspend.

## VI. Frequently asked questions (FAQs)

46. **I have a Data Portal account, but I no longer have access to the multi-factor authentication (MFA) device used to set up the account?**
- If your institution admin user has previously created a user account for you, but you no longer have access to your MFA device, the Research England Data Portal team can provide an MFA reset link that will enable you to set up the MFA on a new device. Please request this by emailing the team via [data\\_queries@re.ukri.org](mailto:data_queries@re.ukri.org).
47. **I have access to the Data Portal, why can't I see the 'HEIF Annual Monitoring Survey' data collection area?**
- Each Data Portal user is as granted access to different 'data collection' areas when their account is created. If you cannot see the 'HEIF Annual Monitoring Survey' data collection area, please ask your Data Portal admin user to enable your account to have access to the HEIF data collection.
48. **How can I get an RE Data Portal account if I don't know who my institution's 'user admins' are?**
- If you need to contact your institution's user admins but you do not know who they are, you can request Research England to get in touch with them on your behalf. To do so please email the RE Data Portal team via [data\\_queries@re.ukri.org](mailto:data_queries@re.ukri.org) and **provide explicit permission** for Research England to share your contact details. We will then contact your institutions user admins and ask them to get in touch with you about creating an account.
49. **Can the HEIF AMS survey link be shared outside the RE Data Portal?**
- Only users who are authorised by their institution to access the RE Data Portal and hold a HEP user account will be able to open and complete the survey.
  - If the URL for the HEIF AMS survey is shared outside the RE Data Portal environment, any user attempting to access the survey will be asked to provide secure login details. The login will require the RE Data Portal login details and will include the associated multi-factor authentication.
50. **Will I be able to print or email a copy of the completed submission?**
- Yes, after submitting your statement, you see a page confirming that your submission is complete. From this page you can print a copy of your completed statement by clicking on the link to 'View all your answers on one page' at the top of the page where you will find an option to print or save your submission as a PDF.
51. **Who can I contact if I have questions?**
- Any queries about the HEIF AMS process and survey should be directed to the RE KE Policy team via [KEPolicy@re.ukri.org](mailto:KEPolicy@re.ukri.org).
  - Any queries about access to the RE Data Portal should be directed to the RE Data Portal team via [data\\_queries@re.ukri.org](mailto:data_queries@re.ukri.org).





## Annex A - Infrastructure categories

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

### **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.

## Annex B – Financial reporting worked examples

**Table B Use of 2022-23 HEIF allocation for University of Poppleton**

UKPRN: 99999999

*Note: All monies should be returned in units of £1,000, rounded to the nearest £1,000*

Breakdown by expenditure category	Breakdown by infrastructure category	Previously reported spend			2023-24 Regional Innovation Fund	2023-24 HEIF Business & Commercialisation supplement	2023-24 HEIF allocation
		2022-23 Non-recurrent KE	2022-23 HEIF Business & Commercialisation supplement	2022-23 HEIF allocation			
<b>Ai. Total funds received (£000s)</b>		<b>201</b>	<b>204</b>	<b>3,910</b>	<b>310</b>	<b>327</b>	<b>3,987</b>
<b>Aii. Total funds used (£000s)</b>		<b>184</b>	<b>204</b>	<b>3,870</b>	<b>289</b>	<b>291</b>	<b>3,987</b>
<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>	<b>181</b>	<b>200</b>	<b>2,000</b>	<b>289</b>	<b>291</b>	<b>3,987</b>
<i>Infrastructure breakdown categories removed for worked example</i>		<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>
<b>C. Academic staff KE activity (including buying out academic time to engage in KE)</b>	<b>Funds used (£000s)</b>	<b>0</b>	<b>0</b>	<b>1,000</b>	<b>0</b>	<b>0</b>	<b>0</b>
<i>Infrastructure breakdown categories removed for worked example</i>		<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>0%</b>	<b>0%</b>	<b>0%</b>
<b>D. Other costs and initiatives</b>	<b>Funds used (£000s)</b>	<b>3</b>	<b>4</b>	<b>870</b>	<b>0</b>	<b>0</b>	<b>0</b>
<i>Infrastructure breakdown categories removed for worked example</i>		<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>0%</b>	<b>0%</b>	<b>0%</b>
<b>E. Total funds used (£000s)</b>		<b>184</b>	<b>204</b>	<b>3,870</b>	<b>289</b>	<b>291</b>	<b>3,987</b>

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**Worked example – breakdowns by infrastructure categories**

The below table provides a worked example of how infrastructure categories would be reported for an institution that has chosen to allocate half of its £2m HEIF allocation to dedicated knowledge exchange staff who are supporting the following activities:

- University Research Contract office to negotiate on behalf of the university where required for contract research. (£280k)
- Tech transfer office to support programme of commercialisation activities. (£340k)
- CPD development team to work with local business partners to develop and deliver bespoke CPD content and programmes to meet local business needs. (£150k)
- Fixed term post in the alumni office for the development of regional alumni networks initiative. (£50k)
- Public engagement team to lead organisation of ‘Festival of ideas’ in partnership with local council. (£100k)
- Part time post in human resources team to develop mentoring programme for entrepreneurial skills for academic staff and students. (£30k)
- Business development officer to manage the exploitation of specialist laboratory equipment with external partners. (£50k)

**Worked example to report above activities by infrastructure categories** (*Only expenditure type ‘dedicated KE staff’ shown in example*)

Breakdown by expenditure category	Breakdown by infrastructure category	2023-24 HEIF
<b>Ai. Total HEIF Allocation</b>		<b>2,000</b>
<b>Aii. Total funds used (£000s)</b>		<b>2,000</b>
<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>	<b>1,000</b>
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>Refer to ‘category guidance’ tab for category definitions.</i>	<i>Facilitating the research and exploitation process (non TT)</i>	<b>28%</b>
	<i>Commercialisation (technology transfer)</i>	<b>34%</b>
	<i>Skills and human capital development</i>	<b>15%</b>
	<i>Knowledge sharing and diffusion</i>	<b>5%</b>
	<i>Supporting the community/public engagement</i>	<b>10%</b>
	<i>Enterprise and entrepreneurship</i>	<b>3%</b>
	<i>Exploiting the HEI’s physical assets</i>	<b>5%</b>
	<b>Total dedicated KE staff (should sum to 100%)</b>	<b>100%</b>