

## Annex C: Guidance notes for completion of institutional strategies

### General

1. Strategies should be completed on the template provided at Annex B. Please do not attach other documents or annexes. An electronic version of the template can be downloaded with this report from the HEFCE web-site at [www.hefce.ac.uk](http://www.hefce.ac.uk) under Publications. Complete strategies should be e-mailed to [businessandcommunity@hefce.ac.uk](mailto:businessandcommunity@hefce.ac.uk) by **12.00 noon on 14 April 2008**.
2. We intend to publish all institutional strategies once these have been approved for funding.
3. For each section of the template there is a maximum number of words permitted, based on the maximum amount of information we consider should be necessary to answer each question adequately. You are not required to use the full word limit for any section. In particular, HEIs where knowledge transfer activity is on a small scale, or that have received a relatively smaller HEIF 4 allocation may not need to use the full word limit.
4. The template is in three sections:
  - a. Section A seeks information on your overall knowledge transfer strategy and you should consider all activities whether supported by HEIF 4 funds or other sources. This helps us understand the context to your use of HEIF funding.
  - b. In section B we would like you to provide some specific information on the planned use of HEIF 4 funds and how these will contribute to your overall knowledge transfer strategy. We realise that expenditure plans may change during the HEIF 4 period, responding to new insights in the HEI and new HEFCE and DIUS policy priorities for innovation. We would ask institutions to discuss significant changes in their plans for using HEIF 4 funds during the three years of funding with us, as part of the HEFCE annual monitoring statement process.
  - c. Section C asks for additional information as follows:
    - i. You are asked to comment on risks and how you plan to manage them. You should consider risks relating to the overall strategy and also those relating specifically to the expenditure of HEIF funds as appropriate, as well as challenges for the HE sector from third stream work more generally.
    - ii. We are also interested in identifying innovative uses of HEIF funds that are inspired from within the HEI and with its partners. If you consider this applies to your institution please signify it in this section. We are likely to wish to gather further information at some stage in the future so that we can provide interesting illustrations to stakeholders of how HEIF funds are being utilised; we may also use this information to facilitate networks of HEIs

focussing on similar innovative projects as part of continuous improvement work in knowledge transfer.

5. The information you provide in section C will, in aggregate for the whole HE sector, help HEFCE and DIUS consider the additional support we can give to HEIs for continuous improvement.

6. In all cases your responses should consider engagement with all external organisations, including public sector bodies and third sector partners, and not be restricted to businesses.

## **Specific questions**

### **Question 1**

7. As mentioned above, this section should consider all knowledge transfer activities whether or not supported by HEIF funds. Some HEIs may consider knowledge transfer as a subset of, for example external relations, but we still require information on the key elements of the strategy as they relate to knowledge transfer. In summarising their knowledge transfer strategy, HEIs may wish to indicate how the knowledge transfer strategy links to other engagement by the HEI with business and community organisations, for example, in relation to employer engagement in teaching.

8. Information on target sectors (Q1, d) should not be restricted to business organisations.

9. We do not require a comprehensive list of funding sources (Q1, g), but we do wish to know the relative importance of HEIF funding. In most cases, it will be sufficient to list the main sources, for example RDAs, regeneration funds (from the EU) and the HEI's own funds.

### **Question 2**

10. We are interested in the underlying rationale and evidence base for strategies rather than the process by which strategies were developed. However, we recognise that information from, and interactions with, external agencies may be important in developing strategies.

### **Questions 3 and 4**

11. We expect that collaborations will be an integral part of every HEI's strategy. This could include collaborations with businesses in large-scale strategic partnerships; collaborations with business support agencies; collaborations with other HEIs to expand markets and/or gain economies of scale. Collaborations may be new, but we will also be most interested to see effective collaborations sustained from past HEIF funding rounds.

It is important though that collaborations amount to more than the sum of the parts and that they are managed effectively.

### **Questions 5 and 6**

12. We want to be able to assess whether HEIs are improving their capacities to transfer knowledge and we consider monitoring processes and outcomes and target setting an important element of this. We recognise that key performance indicators (KPIs) can be set at the whole institution level, or for dedicated knowledge transfer staff, or both, and you should report as appropriate.

### **Question 7**

13. Information provided for Q7 could include: incentive schemes; promotion criteria; workload planning schemes or awareness raising programmes.

### **Question 8**

14. Please explain how the information gained through monitoring or otherwise will be translated into improved performance. This might include, for example, staff development programmes (for academics or knowledge transfer staff), changes in management structures or policies and procedures.

15. HEFCE has provided funds to support a number of continuous improvement activities that can help organisational and individual (KT professional) knowledge transfer performance development:

- a. Development of training and continuous professional development for knowledge transfer practitioners through our grants to support the AURIL continuing professional development (CPD) programme ([www.auril-cpd.org](http://www.auril-cpd.org)) and Praxis knowledge transfer training ([www.praxiscourses.org.uk](http://www.praxiscourses.org.uk)).
- b. Development of standards for knowledge transfer professionals working in HE, business and the community, and the accreditation of training, through support to the newly formed Institute for Knowledge Transfer (IKT, at [www.ikt.org.uk](http://www.ikt.org.uk)).
- c. Development of metrics and approaches to benchmarking against international performers through our support for a project in which UNICO is working with US and Canadian counterparts ([www.unico.org.uk](http://www.unico.org.uk)).

16. We would be interested in information about participation in AURIL or Praxis training, membership of IKT or participation in benchmarking activity such as that developed by UNICO. Such information would indicate to us that the HEI has a serious and informed approach to continuous improvement.

## Questions 9 and 10

17. We would like to be able to present an aggregate picture for the HE sector of how you intend to use HEIF 4 funds at the outset (noting that you may vary spending flexibly over the years of HEIF 4). We recognise that use of funds varies considerably according to institutional factors (like scale of the HEI, other sources of knowledge transfer funding), and also that HEIF 4 supports a great diversity of activities. To help us get the best picture for the whole HE sector, we ask you to break down your spending in two ways, as follows:

a. In Q9 we would like information on how you plan to use HEIF 4 funds and Table A prompts you to break down funds by some broad categories of expenditure. We understand that some HEIs may not have planned expenditure in all categories provided, and you are invited to include other categories if they are significant for your institution. Totals in Table A should sum to the full HEIF 4 allocation for your HEI in each year.

b. In Q10 we ask you to break down HEIF 4 by major outputs or activity areas that you can identify (for example, enterprise education schemes or third sector engagement support). We realise that this may not be possible in many cases, as, for example, knowledge transfer staff funded by HEIF may work across a range of activities. If, however, you are able to make such an association between a significant amount of expenditure and a certain kind of knowledge transfer activity then please provide information here. Figures provided for Q10 do not need to add up to the total HEIF 4 allocation of the HEI but may include only a subset which can be attributed to a major activity programme area.

## Question 11

18. We want to know the role HEIF funding plays in implementation of the strategy described in section A. You should explain the importance of specific use of HEIF funds (for example, support of knowledge transfer staff) in implementation but also whether the nature of the HEIF funds (eg relatively predictable or discretionary use) is important.

## Question 12

19. You should consider risks relating to the overall strategy and also the specific implementation of HEIF plans. It may also be helpful to distinguish between 'external' risks such as those related to user demand and 'internal' risks such as staff engagement. Comments on broader challenges facing the HE sector in general in third stream working would also be welcome here, to help us inform our future policies.

## Question 13

20. We are interested in innovative approaches to knowledge transfer, not the transfer of innovative ideas per se. We do not wish to be at all prescriptive as to possible responses but want to understand the flagship projects and innovations that individual

HEIs themselves are developing. We will make no attempt to assess the relative merits of different HEIs' flagship projects.