

RE-P-2020-03

July 2020

HEIF policies and priorities

Accountability Statements

2020-21 and 2021-22 to 2024-25

Request for HEIF Accountability Statements for higher education providers
in receipt of Higher Education Innovation Funding from Research England

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Contents

Section 1: Policies, priorities and funding.....	5
Section 2: The HEIF Accountability Statement.....	10
Annex A - HEIF accountability statement return checklist.....	14
Annex B – Accountability statement narrative return template	18
Annex C – Accountability statement financial return template.....	19
Annex D – Glossary	20
Annex E – Summary of deadlines	21

Introduction

1. This document should be read in conjunction with Research England 2020-21 funding round documents which provide details on the funding settlement for knowledge exchange, including Higher Education Innovation Funding (HEIF) institutional allocations. This document supports funding information by detailing:
 - a. Policies and priorities for use of Higher Education Innovation Funding (HEIF) allocations from 2020-2021 to 2024-25, including exceptional arrangements to address COVID-19 crisis and recovery. HEIF is a joint programme of Research England and Office for Students. Government priorities and Research England and Office for Students (OfS) strategic objectives, set out in this document, should inform planning and use of HEIF by HEPs over the period from 1 August 2020 onwards.
 - b. The requirements for the submission of a HEIF Accountability Statement from all higher education providers (HEPs) in receipt of HEIF funding from Research England for the period 2021-2022 to 2024-25, and exceptional reporting for 2020-21.
2. This document sets out policies, priorities and approaches to accountability that update and supersede the last HEIF guidance (HEFCE 2016/16), and may be subject to change to reflect any new Government priorities from implementation of the Research and Development (R&D) roadmap¹.
3. A question on accountability for HEIF 2020-21 allocations including COVID-19 impacts will be provided within the 2019-20 Annual Monitoring Statement (AMS). We expect to distribute the AMS to applicable providers in December 2020, to be returned in February 2021. HEPs should keep appropriate records of exceptional uses of HEIF or variations from their previously approved strategic KE objectives to enable us to understand the pressures on – and responses of – HEPs to the COVID-19 pandemic.

¹ <https://www.gov.uk/government/publications/uk-research-and-development-roadmap>

4. Completed HEIF Accountability Statements 2021-22 to 2024-25 must be submitted by email to the knowledge exchange team at KEPolicy@re.ukri.org by Friday 21 May 2021.

5. Any queries should be directed to KEPolicy@re.ukri.org.

Section 1: Policies, priorities and funding

Policies and priorities that apply to use of HEIF

6. As set out in [RE-CL-2020-04](#) on 16 April 2020, we are conscious of the significant disruption caused by the COVID-19 pandemic. We have sought to address disruption to the operation of HEPs through the arrangements set out in this document, with light touch reporting on use of HEIF for 2020-21, and then HEPs providing long-term settled plans for 2021-22 onwards in spring 2021.
7. We also welcome and celebrate the HE sector's KE activity being undertaken specifically to aid the economy and society dealing with the COVID-19 crisis and recovery. [RE-CL-2020-04](#) set out flexibilities allowed for HEPs to use HEIF for KE to address COVID-19 crisis and recovery.
8. Our approach to policies and priorities and accountability for HEIF build significantly on past practice set out in previous HEIF guidance ([HEFCE 2016/16](#)). Main changes relate to:
 - a. New Government priorities summarised in paragraph 9. This includes priorities described in the [Research England 2020 Grant Letter](#)² and in the [Government's R&D roadmap](#).
 - b. The development and implementation by us of the [Knowledge Exchange Framework \(KEF\)](#) and by higher education sector bodies of the [Knowledge Exchange Concordat](#) within the planning period. We have changed our approach to HEIF accountability to recognise these exercises, and particularly to reduce burden.
 - c. The continuing importance of HEPs addressing COVID-19 crisis and recovery.
9. The following Government priorities apply:

² Hyperlink updated August 2020

- a. The Government is committed to a long-term vision for R&D as described in the [R&D roadmap](#), which includes highlighting the importance of knowledge exchange, HEIF, KEF and the KE Concordat.
- b. HEIF should support delivery of the key foundations of the Industrial Strategy, around “Ideas”, “People” and their role in supporting “Place”. It should support all important aspects to the contribution of universities to COVID-19 crisis and recovery, such as place and civic contributions. It can play a part in addressing the Government’s levelling up agenda. It can also support the vital role of students in delivering knowledge exchange in pursuit of these priorities, whilst also recognising that students themselves may benefit through, for example, enhanced employability prospects.
- c. The Government’s wish is for us to continue to pursue our robust outcome-based funding approach to HEIF, demonstrating value for money, balancing predictability in funding with more regular rewards for dynamism, and having due regard to burden. This includes appropriate accountability and assurance through submission and verification of HEIF accountability statements (detailed in this document) and in expectation that the Knowledge Exchange Framework and the KE Concordat will become embedded to enhance accountability and assurance further over the planning period. HEIF is allocated by formula which gives HEPs flexibility to use HEIF for the KE activities that they choose, reflecting their capabilities, partnerships and intended economic and societal outcomes and impacts. The KEF and Concordat balance the formula approach by enabling greater assurance to Government that these funds are being used effectively through:
 - i. Research England publishing evidence on performance achievement – the KEF.
 - ii. Supporting the work led by universities to continuously improve that performance – the Concordat.
- d. Our approach should balance predictability in funding with regular rewards for dynamism.

- e. It should also focus on rewarding and incentivising performance and should ensure that only effective performers are funded.
- f. HEIF is funded from both BEIS and DfE budgets and Government priorities reflect that. The Government expects Research England with the Office for Students (OfS) to work together, with other UKRI councils, complementing investments by these, and with other UK HE funding bodies, to ensure that policies and activities are coherent, complementary and joined up.

10. We address these priorities through the following policies and principles:

- a. HEIF must be used solely for knowledge exchange activity. Further guidance on what is KE is at Annex A.
- b. HEIF should not be used to fund capital expenditure such as building or refurbishment works, or significant purchases of equipment.
- c. HEIF should be used to address key Government priorities set out in paragraph 9, and should further the strategic objectives of RE-UKRI and OfS. Further to the RE-OfS student [benefits of KE call](#), we have a new focus on identifying and monitoring achievement of student benefits, alongside economic and societal benefits. We may request further information as part of annual monitoring in any year to ensure that we are addressing Government priorities in the round, including across both RE and OfS strategic objectives.
- d. Funding is provided by formula, focussing on rewarding and incentivising performance. The success of HEIF is judged by Government in public funding cases in terms of the economic and societal impact achieved. HEPs have flexibility to use funds to maximise societal and economic outcomes and impacts, responding to the needs of their external partners.
- e. Income remains the best proxy we have for the impact of KE activities on the economy and society; hence it is the best measure of performance and is used in the formula allocation of HEIF. The focus of HEIF is not on income generation for the HEP, though we recognise that HEPs must pay regard to the sustainability of their activities. Future developments of the HEIF method, KEF and Concordat will seek to ensure that we understand,

incentivise, monitor and evaluate the economic and societal outcomes and impacts delivered by HEIF, to guard against an undue focus on income achievement.

- f. We re-calculate allocations annually but with yearly moderation factors applied. The yearly moderation factors provide HEPs with a planning assumption for use in drawing up long-term plans for use of HEIF. [HEFCE 2016/16](#) committed us to a 10% yearly factor as a good balance of stability and dynamism. This policy has been modified to accommodate additional funding provided by Government alongside the Industrial Strategy, where we have raised the cap on allocations in proportion to the additional funds, and also relaxed the upward modifier³ to accommodate this.
- g. We also provide an additional £10 million available per annum to provide allocations to HEPs that may be constrained by the top cap of HEIF.
- h. To meet the Government's priority that only effective performers are funded, we apply a £250,000 threshold to allocations.
- i. HEPs have discretion to use funding for the full range of KE activities beyond those counted in the funding formula. It will be of continuing importance that institutions continue to innovate in their KE activities.
- j. We expect that HEPs will take account of the publication of KEF results in Winter 2020-21 in finalising their plans and using funds over the period.
- k. We expect HEPs to participate in the forthcoming KE Concordat implementation exercise, which provides an important sector led opportunity to identify and set high KE standards across universities and commit to furthering best practice. We are committed to giving our full support to sector bodies in delivering and developing the exercise, working with other UK higher education funding bodies.

³ Correction made August 2020

11. The RE funding round documents provide further details of how these policies and principles have been applied in calculating 2020-21 HEIF allocations.

12. Following the letter from the Universities Minister in October 2019⁴, we announced a forthcoming fundamental review of the HEIF funding method. We anticipate that following the review, a new approach to HEIF allocations will be introduced within the planning period described in this document. This will include embedding KEF and KE Concordat within the HEIF method, as well as addressing any other R&D roadmap priorities.

⁴ <https://re.ukri.org/news-opinions-events/news/letter-from-universities-minister-to-research-england/>

Section 2: The HEIF Accountability Statement

Background

13. For the previous funding period we required HEPs in receipt of HEIF to submit a five-year knowledge exchange strategy. This enabled us to understand how HEIF was used efficiently and effectively as part of broader institutional KE objectives, how it was managed and evaluated, and how performance was continuously improved. The KEF and KE Concordat are expected to provide information that will meet some of our previous requirements, enabling us to focus the information requested as part of this exercise.
14. The accountability statement being requested in this document is therefore more narrowly focussed on the uses of HEIF. However, it remains important to set this in the context of wider institutional KE objectives, as a means to understand overall value and alignment with institutional mission. We expect that all HEPs in receipt of HEIF should have KE strategic objectives. For instance, this may be as a standalone KE strategy or through strategic KE goals that are embedded within your overarching institutional strategic plan or within a variety of specific strategies. We do not require HEPs to prepare or submit a new standalone KE strategy for purposes of HEIF accountability.
15. We do expect HEIF to be secured against these strategic objectives, to guide and drive the decision-making process for the KE activities supported by HEIF. We also expect you to have a process in place to monitor and evaluate your progress in KE, including assessing benefits to the economy and society, as well as other beneficiaries as appropriate, such as students.

Purpose of the HEIF Accountability Statement

16. Through the HEIF accountability statement we wish to understand and evaluate how you intend to use your HEIF allocation to meet Government priorities over the next five years. To account for the disruption caused by COVID-19, reporting for 2020-21 will be collected through our annual monitoring statement (AMS) process. Through the accountability statement return we are then collecting information for the period 2021-22 to 2024-25 that covers:

- a. The activities that HEIF will support, and the specific way HEIF will be used to support these activities.
- b. Estimated proportions of funding allocated to different types of KE expenditure.
- c. How these activities will deliver the Government's priorities set out in paragraph 9, addressing both RE and OfS strategic objectives.
- d. How these are aligned with your institutional KE strategic objectives.
- e. How HEIF funding will be managed and HEIF funded KE activities will be monitored and advanced accordingly.
- f. Detailed information for 2021-22 with note of planned changes of priorities for the following three years.
- g. Optional provision of exemplar HEIF-funded KE case studies.

17. Research England will assess and collate the accountability statements in order to:

- a. Verify that HEPs have strategically-led plans in place to use their HEIF allocation.
- b. Verify that uses of HEIF are eligible (used only for KE and not for capital expenditures) and are being used to deliver Government priorities.
- c. Verify that HEPs have proper processes and procedures in place to manage KE funding.
- d. Collate sector wide spending intentions and information on activities to inform funding policy and feedback to Government.
- e. Collate sector wide exemplar case studies on the economic and societal benefit resulting from HEIF funded activities.

18. HEPs can only continue to receive HEIF if we are satisfied that it is being used for eligible purposes, focussed on key priorities and being managed properly. We will

confirm promptly to HEPs after our assessment of statements on whether these are satisfactory, or whether additional evidence is needed.

19. Approved accountability statements will be published in their entirety on the Research England website, and individual sections may be used in a sector-wide synthesis report.
20. HEPs may be required to submit further information for purposes of future HEIF evaluations, and to participate in relevant exercises.
21. We will set out any changed or additional monitoring requirements in the relevant annual monitoring exercise. Annual monitoring requirements will be issued in December following each allocation year.

HEIF Annual Monitoring Statement

22. Following approval of the HEIF Accountability Statement for the funding period 2020-21 to 2024-25, HEPs in receipt of HEIF will be required to return an Annual Monitoring Statement (AMS) each winter that reports on the previous allocation year.
23. We will use annual monitoring statements to:
 - a. Collate sector-level data on the use of HEIF in each allocation year.
 - b. Assess progress of the HEP in the delivery of institutional KE strategic objectives and Government priorities through their HEIF funded activities.
 - c. Verify that HEIF has only been used to support eligible activities (KE activities that focus on delivery of Government priorities and are not capital expenditures). Funds can be recovered if not used for eligible purposes.
 - d. Verify that HEPs have fully utilised their HEIF in the academic year of allocation.
 - e. If applicable, confirm that a HEP has resolved any prior underspends previously approved by Research England.

HEIF Accountability Statement return format

24. The HEIF Accountability Statement return is in two parts:

- a. **Narrative return** – to provide information about your strategic objectives, planned use of HEIF and management and monitoring arrangements for the funding period 2021-22 to 2024-25.

A downloadable Microsoft Word version of the template shown at Annex B is available on the Research England publication [webpage](#). HEPs in receipt of HEIF must respond using the template provided and return it as a Microsoft word file.

- b. **Financial return** – to provide an indicative breakdown of the planned expenditure and infrastructure breakdown for each year of the funding period 2021-22 to 2024-25.

A downloadable Microsoft Excel version of the template shown at Annex C is available on the Research England publication [webpage](#). HEPs in receipt of HEIF must complete the template provided and return it as an Excel file.

25. The completed accountability statement must be returned by email to KEPolicy@re.ukri.org by **Friday 21 May 2021**.

Annex A - HEIF accountability statement return checklist

Check 1 - When completing your HEIF accountability statement, check that all planned activities are in scope as knowledge exchange activities.

The Higher Education and Research Act 2017, [section 93 \(4\)](#) defines knowledge exchange as:

“(4) For the purposes of this Part, “knowledge exchange”, in relation to science, technology, humanities or new ideas, means a process or other activity by which knowledge is exchanged where—

(a) the knowledge is in, or in connection with, science, technology, humanities or new ideas (as the case may be), and

(b) the exchange contributes, or is likely to contribute, (whether directly or indirectly) to an economic or social benefit in the United Kingdom or elsewhere.”

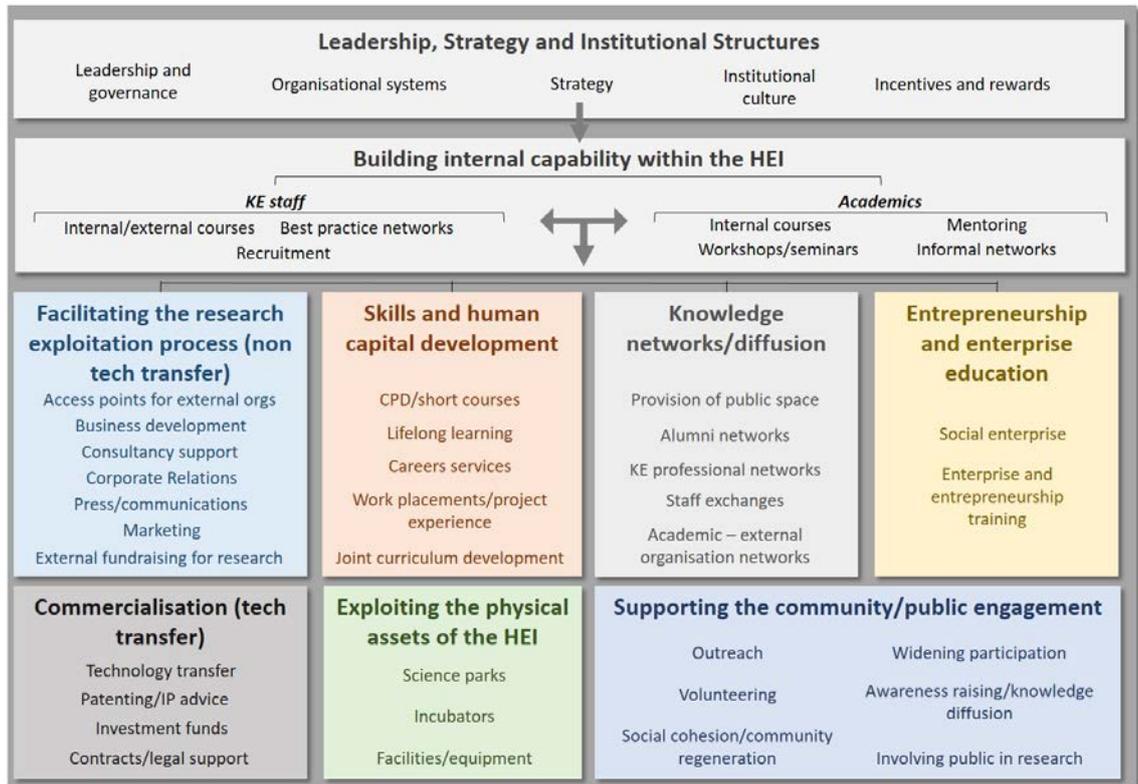
At a practical level, this means that an activity must involve an external partner and/or be focussed on entrepreneurship and/or starting up a new company.

Examples of activities that are not eligible to be funded by HEIF because they do not meet the knowledge exchange definition above or cannot be supported by recurrent funding include:

- Research that does not involve an external partner, for example collaborative research with another higher education provider only.
- Teaching that does not involve an external partner, for example cross disciplinary curriculum development.
- Capital expenditure such as building construction or refurbishment.
- Research administration such as the preparation of REF impact statements (although KE activities to achieve the impact would be eligible).
- Outreach programmes that are primarily aimed at student recruitment or widening participation.

Figure 1 provides a visual overview of the wide range of knowledge exchange activities (with the functions used in our expenditure breakdowns).

Figure 1⁵



Check 2 - That the activities you have described are supported (wholly or in part) by HEIF.

We do not need information on activities wholly supported from other sources. Please be clear on how the activity is supported so we can draw together information in sector-wide reports and relate the narrative text to the financial estimates provided in the financial return at Annex C.

Check 3 – That your HEIF funded activities are guided by and relate to your KE strategic objective.

We expect all HEIF activities and monitoring arrangements to be strategically led. Have you provided a clear overview of the strategic objectives you hold that relate to KE in question 1 and have you demonstrated a link to your activities described in question 2?

⁵ Tomas Coates Ulrichsen, 2017

Finally, have you demonstrated how you track and monitor your performance against your objectives in question 3?

Check 4 - That you have clearly addressed Government priorities

The current government priorities for HEIF are set out in paragraph 9 of this document. We expect that you will have close regard to these priorities in the development of your plans for HEIF and the links should be demonstrated in the information provided in Question 2 of your narrative return.

Check 5 - That you have paid sufficient regard to benefits arising to students from HEIF funded activities

Both Research England and the OfS have an interest in benefits to students from their delivery of - or involvement in - KE, as well as where the KE activity does not directly involve students, but benefits accrue to them from it. Ensure that where HEIF funded activities involve or benefit students that this has been recorded. Please also include an indication of the scale of student benefit, for example through estimated numbers of students benefitting.

Check 6 – That the planned activities are funded by HEIF received in the relevant HEIF allocation year.

For example, if a HEIF funded KE project will span the 2020-21 and 2021-22 academic years, the activities undertaken in 2020-21 should be funded by the 2020-21 HEIF allocation and the remaining activities funded from the 2021-22 HEIF allocation. HEIF may not be carried over into a following year to complete a project without prior approval from Research England.

Check 7 – That the information provided in the narrative return is consistent with your estimated expenditure breakdown provided in the financial return.

For example, if you have described a high number of KE activities that are supported by HEIF through the support of staff posts managing the activities, we would expect your financial estimate to also show a significant proportion of funding allocated to the expenditure type KE professional staff.

Further to this, if you describe important strategic objectives and planned activities focussed on commercialisation (tech transfer), we would expect your financial estimate to show a significant proportion of funding allocated to the commercialisation (tech transfer) KE function category.

Check 8 – That your accountability return is emailed to KEPolicy@re.ukri.org and contains both the following two files:

- a. Microsoft Word format narrative return containing:
 - i. Contact details for the primary contact for any queries relating to the return.
 - ii. Confirmation that the Head of Institution has approved the submission.
 - iii. Full response to Question 1 – Strategic Objectives (max 2 pages)
 - iv. Full response to Question 2 – Planned use of HEIF (max 6 pages)
 - v. Full response to Question 3 – Monitoring success (max 4 pages)
 - vi. Case studies and accompanying images (if you are choosing to include these)
- b. Microsoft Excel format financial return.

Annex B – Accountability statement narrative return template

A copy of the narrative return template is provided within this PDF document for reference only.

The Microsoft Word template for return to Research England may be downloaded from the Research England RE-P-2020-03 publication webpage: <https://re.ukri.org/sector-guidance/publications/HEIF-policies-and-priorities/>

RE-P-2020-03-Annex B

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

Web: <http://re.ukri.org>

Twitter: [@ResEngland](https://twitter.com/ResEngland)

Email: [Subscribe to email alerts](#)

HEIF contact information	
The contact provided here is responsible for ensuring that the head of institution has approved this HEIF Accountability Statement submission to Research England ¹	
Institution name:	
Contact name:	
Position:	
Email:	
Phone:	
Additional email addresses to be CC'd into correspondence (optional):	
Has this KE strategy been approved for submission to Research England by the head of institution?	Yes / No (delete as appropriate)

¹ We would normally expect this to be the nominated KE contact held by Research England, for confirmation of who is currently held as the nominated KE contact email KEPolicy@re.ukri.org

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.

(max 2 pages of A4)

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 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.

(Max 4 pages of A4)

Case studies (optional)

Purpose of the case studies

We would like to use this opportunity to identify institutional case studies that will demonstrate the value of HEIF to creating economic and societal impact in the UK through knowledge exchange activities that meet Government priorities.

We intend to use these case studies to inform policy development and demonstrate the value of HEIF to a range of stakeholders, including UKRI, BEIS and DfE. As such they will be used in isolation from the rest of the accountability statement and so the text should be of publication quality, include all relevant information and not cross refer to other questions or documents.

The provision of case studies is optional. The activities detailed in your case studies may duplicate descriptions provided elsewhere such as KEF narrative statements.

Case study content

Reflect on your successes and provide up to two case studies of exemplar KE projects or activities that have been supported by HEIF.

Please include:

- a) Brief description of activity.
- b) In what way the activity was supported by HEIF, e.g. KE staff posts, academic staff buy out etc.?
- c) In what way did this activity achieve societal, economic or student benefit?
- d) How the work has supported a government priority area and RE-UKRI and OfS strategic objective.

You are free to use any format you wish, but please ensure that each case study is no more than 500 words.

Optional case study photograph

If you wish to provide an accompanying photograph, please ensure you own full copyright and are able to grant permission to be used in Research England and Office for Students publications or websites for use alongside your case study. Please provide this as a high resolution image file and cross reference the image along with copyright information.

HEIF Case study 1

Institution name:	
Case study title:	
Related image file name and copyright information (if applicable)	
<p><i>(Max 500 words)</i></p> <p>SAMPLE</p>	

HEIF Case study 2

Institution name:	
Case study title:	
Related image file name and copyright information (if applicable)	
<p><i>(Max 500 words)</i></p> <p>SAMPLE</p>	

Annex C – Accountability statement financial return template

An image of the financial return template is provided here for reference only. The Microsoft Excel template for return to Research England may be downloaded from the Research England publication RE-P-2020-03 webpage: <https://re.ukri.org/sector-guidance/publications/HEIF-policies-and-priorities/>.

Table A of HEIF Accountability Statement return: Estimated use of 2021-22 to 2022-23 HEIF allocations

Institution name:	
UKPRN:	

Note: 'HEI' = 'higher education institution'; 'HEIF' = 'Higher Education Innovation Funding'; 'KE' = 'knowledge exchange';
TT = 'technology transfer', including additional allocation for top cap

Please return data in the pale green and blue cells only

The purpose of this table is to show an estimate of how you expect to allocate your HEIF funding over the funding period 2021-22 to 2024-24 to support the narrative of planned activities detailed in your accountability statement.

The HEIF Annual Monitoring Statement for each year will ask you to return your actual use of HEIF for the previous allocation year by the same expenditure and infrastructure breakdowns included in the table below. Please complete the information according to your current plans, the information provided here will not be binding for reporting of future use.

Breakdown by expenditure category	Breakdown by infrastructure category	2021-22	2022-23	2023-24	2024-25
<i>Of your total allocation received in each allocation year, what proportion do you expect to be allocated to the following types of expenditure (the sum of B, C and D should equal 100% calculated in dark blue row 38)</i>					
B. Dedicated KE staff	Approximate overall proportion of HEIF funds expected to be used for dedicated KE staff?	0%	0%	0%	0%
Of the proportion of funding 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%; in dark green row 19)	Facilitating the research and exploitation process (non TT)	0%	0%	0%	0%
	Commercialisation (technology transfer)	0%	0%	0%	0%
	Skills and human capital development	0%	0%	0%	0%
	Knowledge sharing and diffusion	0%	0%	0%	0%
	Supporting the community/public engagement	0%	0%	0%	0%
	Enterprise and entrepreneurship	0%	0%	0%	0%
	Exploiting the HEI's physical assets	0%	0%	0%	0%
	Total dedicated KE staff (should sum to 100%)		0%	0%	0%
C. Academic staff KE activity (including buying out academic time to engage in KE)	Approximate overall proportion of HEIF funds expected to be used for academic staff KE activity?	0%	0%	0%	0%
Of the proportion of funding 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%; in dark green row 28)	Facilitating the research and exploitation process (non TT)	0%	0%	0%	0%
	Commercialisation (technology transfer)	0%	0%	0%	0%
	Skills and human capital development	0%	0%	0%	0%
	Knowledge sharing and diffusion	0%	0%	0%	0%
	Supporting the community/public engagement	0%	0%	0%	0%
	Enterprise and entrepreneurship	0%	0%	0%	0%
	Exploiting the HEI's physical assets	0%	0%	0%	0%
	Total academic KE activity (should sum to 100%)		0%	0%	0%
D. Other costs and initiatives	Approximate overall proportion of HEIF funds expected to be used for other costs and initiatives	0%	0%	0%	0%
Of the proportion of funding 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%; in dark green row 37)	Facilitating the research and exploitation process (non TT)	0%	0%	0%	0%
	Commercialisation (technology transfer)	0%	0%	0%	0%
	Skills and human capital development	0%	0%	0%	0%
	Knowledge sharing and diffusion	0%	0%	0%	0%
	Supporting the community/public engagement	0%	0%	0%	0%
	Enterprise and entrepreneurship	0%	0%	0%	0%
	Exploiting the HEI's physical assets	0%	0%	0%	0%
	Total other costs and initiatives (should sum to 100%)		0%	0%	0%
Total		0%	0%	0%	0%

Annex D – Glossary

List of abbreviations

AMS	Annual Monitoring Statement (for HEIF)
BEIS	Department for Business, Energy and Industrial Strategy
DfE	Department for Education
HE	Higher education
HE-BCI	Higher Education Business and Community Interaction Survey
HEFCE	Higher Education Funding Council for England
HEIF	Higher Education Innovation Funding
HEP	Higher education provider
HESA	Higher Education Statistics Authority
KE	Knowledge exchange
KEF	Knowledge exchange framework
OfS	Office for Students
RE	Research England
RED	Research England Development fund
UKRI	UK Research and Innovation

Note on usage of terms ‘HEP’ and ‘University’

We refer to providers or HEPs when setting out requirements of accountability for funding received by those eligible, and to universities when we are referring more broadly to the policy environment and the role of universities.

Annex E – Summary of deadlines

Summary of HEIF deadlines and publications

Summary of HEP deadlines

Deadline	Information required
Friday 26 February 2021	HEPs in receipt of a 2019-20 HEIF allocation to submit an annual monitoring statement to Research England. To include an additional question on the use of 2020-21 HEIF allocation.
Friday 21 May 2021	HEPs in receipt of a 2020-21 HEIF allocation to submit detailed multi-year HEIF Accountability Statement to Research England.

Summary of anticipated RE publication dates

Publication month	Information provided
December 2020	Distribution of guidance and templates for the 2019-20 HEIF Annual Monitoring Statement.
June/July 2021	Approval of HEIF accountability statements.