



Research Institutes Strategic Plan

2020 - 2023

Strategic Planning Steer: Overview

Strategic themes

Delivering our **institutional vision** and contributing to our **overall strategic narrative**

Achieving **financial and operational sustainability**

Building an **inclusive culture** and an **engaged and high performing workforce**

Embedding a **distinctive curriculum through the Hallam Model** and developing a **sustainable portfolio of courses**

Contributing to our **civic and place agenda**

Delivery priorities

Student experience, learning and teaching

Research and innovation

Business and enterprise

Global engagement and academic partnerships

Services, infrastructure and operations

- Consistently excellent performance across the whole student lifecycle
- An excellent student experience
- Innovation in academic practice
- Delivering our access and participation targets and a strong TEF performance

- A strong research and innovation culture that delivers excellent REF and KEF performance
- Sustainable growth of research and innovation income
- Research with economic, social and cultural impact

- Excellent graduate employment outcomes and entrepreneurship
- A strategic offer for business with a strong enterprise and employment focus

- Developing the University's global engagement, profile and reach to internationalise our student experience and academic activity
- Strategic regional and national educational partnerships enabling collaboration and progression

- Making the university a smarter, more efficient organisation
- Future physical and digital environment

Research Institutes strategic plan: introduction and context

The Research Institutes (hereafter RIs) planning round for 2020-2021 provides the first opportunity to coalesce ambitions and align strategic vision around a longer-term, sustainable plan of action. The RIs will add significant value to the R&I portfolio. They will be the builders of networks to leverage large-scale grants and awards, and support discipline specialists to develop interdisciplinary responses to key global challenges. As the RIs mature, they will position our academics at the forefront of future horizon challenges.

This operational plan responds to the institutional ambitions, all five strategic themes and our five priorities. It achieves these through an innovative suite of mechanisms designed to enable our academics, students and professional services to fully engage in an ambitious programme of interventions, collaborations and intellectual challenges. These mechanisms will be instrumental in clarifying the role and function of the RIs, as well as presenting them as critical hubs for significant uplift in the scale, quality and impact of our R&I activity. This plan will also establish the foundations for a more self-sustaining network of institutes, concerned to raise income and overhead recovery, at the same time as diversifying the types and scales of investment the focus upon.

The current status of the RIs is developmental and therefore performance is set at a base line from start-up to first year operations. They have recruited senior level academic directors to lead the respective thematic areas, and are currently completing recruitment of their teams. This includes RI Managers, Innovation Managers, PGR Leads, Ethics Leads and research and business support teams. Close working relationships with the Associate Deans for Research & Innovation are central to the RI model. They are in cost codes within the Colleges and small operational budgets have been identified to enable early stage investment in R&I in the first year. These are nominal funds and at present non-recurrent, and as a result, are not in line with the prospective and more ambitious planning proposals that are required to take the RIs through a 3-5 year business cycle. Recurrent funds are essential to support the RIs to build the momentum and engagement required to deliver the vision and create a self-sustaining group of institutes driving ambitious income targets. This planning cycle serves to lay out a more ambitious set of objectives and a parallel budget that is supported by the PVC R&I and a new central investment model.

1. Delivering our vision

University indicative milestones, outcomes and targets

Year 1

Year 2

Year 3

Our vision is to be the world's leading applied University. To achieve this we need to position Hallam as a sector leader that is known for its distinctive applied educational offer, impactful research and success in transforming lives.

Lead: DVC (Strategy and Operations)

- Increased brand awareness and applications
- Delivery of Access and Participation plan targets

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- Delivery of Access and Participation plan targets
- Guardian University of the year

Business Unit Plan

Business Unit indicative milestones, outcomes and targets

Context/Ambition

Deliverable (s)

Year 1

Year 2

Year 3

A distinctive, ambitious and innovative programme that pushes interdisciplinary and cross-sectoral boundaries, and transforms academic life to become future focused, investment ready and highly competitive. This vision will invite leading global scholars to join our challenge areas, offering a distinctive, applied and impactful edge to our annual programme.

CK KPI alignment: Tier 1. - 1/2/3
Contribution to institution-wide KPIs:
 Building a great university
 Shaping Futures
 Engagement

Establish brand, profile & communications

A new integrated programme (10 mechanisms for engagement, interventions & large-scale outcomes).
 [Linked to RIS plan priority 1.]

Stakeholder mapping

Launch the Institutes

Mechanism 4. Global Innovation Fellows Programme

- Comms process aligned to new web presence

- Design & fund 10 mechanisms that define the first RI annual programme

- Stakeholder mapping on 3-4 key challenge areas

- First launch event to showcase the direction and future programme

- Frame all grants for incoming fellowships
 Applications:

- A communication matrix aligned to stakeholder map

- Review and roll out annual programme

- Stakeholder Dialogue Days introduced into RI programme

- Annual end of year wrap event - themed

- Applications: Challenge 2

- Review of communications & international reach

- Review and roll out annual programme

- Stakeholder Awards in recognition of contribution

- Annual end of year wrap event - themed

- Applications: Challenge 3

2. Financial and operational sustainability

In common with the rest of the HE sector, Hallam faces financial challenges though fixed income and rising costs; to be able to achieve financial sustainability and to continue to invest in the University's development, we will need to achieve significant efficiencies over the next 3 years, doing more with the same (or less) resources and reviewing non-viable operations.

Lead: DVCs and CFPO

University indicative milestones, outcomes and targets

Year 1

- Meet financial targets

Year 2

- Meet financial targets

Year 3

- Meet financial targets

Business Unit Plan

Business Unit indicative milestones, outcomes and targets

Context/Ambition

A commitment to bringing ambitious, future focused, large scale income opportunities into full view of the vision. Collectively the RIs will be added value ambassadors that draw talent and ideas from across the institution to create critical mass around themes of value to investors. Rationalisation and efficiencies will be intrinsic to the strategy. Budgets will align to support College & Departmental engagement in the mechanisms, making them accountable to leveraging further sustainable funding that is not reliant upon continued subsidy. Building critical mass in fewer areas of focus, with targeted funds to leverage industry and public involvement. These will be clearly aligned to performance measures around income, diversification and sustainability, and move RIs to become more self sustaining within a 3-5 year planned period.

**CK KPI alignment: Tier 1. 1 2 3
Tier 2 – 1.c./2.a./2.b./2.c./3.b.**

Deliverable (s)

Financial reporting model that evidences performance (and areas of underperformance) against clear targets and actions

Trial a new procurement model for preferred supplier banks to strengthen financial models for large scale tendering

A framework for large scale, sustainable funding schemes [Linked to RIS plan priority 3.] offering the best overhead recovery

Mechanism 1. Horizon scanning events on key themes in line with recognised investment capability

Leading a new Annual Research Review (ARR) [Linked to RIS plan priority 7.] addressing performance, sustainability and diversification of income

Year 1

- Tailor model to multiple reports aligned to performance

- Discuss & trial model with procurement

- Working with RIS to create annual cycle of income generation

- Horizon Challenge event

- REF2021 SHU panels to consider a new ARR

Year 2

- Data dashboards established to monitor performance

- Establish several tender approaches using model

- SLAs with international grants & awards service provider(s)

- Horizon Challenge event

- ARR designed & launched post REF2021

Year 3

- Mini CRISS model considered

- Roll out model as tendering framework

- Annual programme review & improvement

- Horizon Challenge event

- ARR continues & reviewed

Dependencies

- Working with finance and RIS to reduce costs as a % of income
- Professional Service Framework to enhance productivity

3. People and culture

To meet our ambitions we need a high performing and engaged workforce with the appropriate skills to support transformational change and meet the University’s current and future requirements.

We need to build an inclusive culture with common values at the heart of everything we do.

Lead: CPO

University indicative milestones, outcomes and targets

| Year 1 | Year 2 | Year 3 |
|---|--|---|
| <ul style="list-style-type: none"> Improved SES results Reduction of sickness absence against benchmark Improved opportunity for staff to progress | <ul style="list-style-type: none"> Further improvement in SES results Further reduction of sickness absence. Improved opportunity for staff to progress | <ul style="list-style-type: none"> improved SES results and decrease in performance management cases External measures of recognition and improved EDI accreditation levels |

Business Unit Plan

Business Unit indicative milestones, outcomes and targets

| Context/Ambition | Deliverable (s) | Year 1 | Year 2 | Year 3 |
|--|--|--|---|--|
| <p>A unified approach to reinvigorating our engagement in interdisciplinary practices, principles and leadership. It is developmental, experiential and educational and promotes a rich and diverse culture in which those engaged in R&I thrive. Performance will be based on a participatory model, reliant upon the active engagement and successful outcomes of academics, students and professional support services. Local departmental plans and personal research plans will utilise the RI mechanisms, demonstrating how R&I is moving beyond boundaries, developing consortia and partnerships and co-supporting the leverage of larger scale funding. RIs will provide a focused developmental framework in partnership with HROD, focusing specifically on research leadership, early career research and E&D.</p> <p>CK KPI alignment: Tier 1. 1 & 3 Tier 2 – 1.a./1.c./3.a. Contribution to institution-wide KPIs: Building a great university Engagement</p> | Developing People programme [Linked to RIS plan priority 2.] | <ul style="list-style-type: none"> Designing first key leadership programme for Readers & Professors | <ul style="list-style-type: none"> Extending the programme to support BAME leadership & greater EDI in academic research | <ul style="list-style-type: none"> Establishing a SHU led leadership programme in addition to Vitae |
| | Mechanism 2. Interdisciplinary Challenge Events | <ul style="list-style-type: none"> Design the first series of SHU challenge events focused on the RI priorities | <ul style="list-style-type: none"> 1 x SHU challenge event | <ul style="list-style-type: none"> 1 x SHU challenge event |
| | Mechanism 3. ECR Refocused | <ul style="list-style-type: none"> Establish a dedicated ECR forum with an annual funded mechanism | <ul style="list-style-type: none"> Host the BAME ECR national conference | <ul style="list-style-type: none"> Establish a new ECR led online publishing strand |
| | A new Professional Service Framework for R&I | <ul style="list-style-type: none"> Discuss and agree a new PS Framework for target SLAs to | <ul style="list-style-type: none"> Refresh alongside annual planning | <ul style="list-style-type: none"> Refresh alongside annual planning |

4. Hallam Model and Portfolio

University indicative milestones, outcomes and targets

The Hallam Model is our collective commitment to a distinctive applied curriculum. We need to focus on embedding this across all our courses and showcasing what is special about our learning.

Alongside the development of a distinctive curriculum model we need to ensure that we can deliver and successfully recruit to a broad and comprehensive portfolio of courses which allows us to meet our educational ambitions and our financial targets.

Lead: DVC (Academic)

| Year 1 | Year 2 | Year 3 |
|---|---|--|
| <ul style="list-style-type: none"> College HM Implementation plans in place and being delivered Improved portfolio efficiency Achieve student number targets | <ul style="list-style-type: none"> Improved portfolio efficiency Achieve student number targets | <ul style="list-style-type: none"> All courses fully embed HM principles Improved portfolio efficiency Achieve student number targets |

Business Unit Plan

Business Unit indicative milestones, outcomes and targets

| Context/Ambition | Deliverable (s) | Year 1 | Year 2 | Year 3 |
|--|--|---|--|--|
| <p>To extend the reach of R&I into the UG curriculum experience through direct engagement with their future employers, tackling the future grand challenges and to gain the competencies and skills that will make SHU graduates unique in the workplace. Through a new Research Enriched Learning mechanism, RIs will host UGR & PGR internships and develop a new modular offer focused on applied research competencies. This will add unique value to TEF, as well as enhancing the student experience and competencies for exceptional careers.</p> <p>CK KPI alignment: Tier 1. 3 Tier 2. – 3.b. 3.c. Contribution to institution-wide KPIs: Shaping futures Engagement</p> | Mechanism 5. Collaborative Doctoral Network [Linked to RIS plan priority 6.] Addresses HM principles of Engage and Collaborate | <ul style="list-style-type: none"> Working with the doctoral School establish the CDN focused on supporting the RI programme | <ul style="list-style-type: none"> Review and agree annual programme work | <ul style="list-style-type: none"> Review and agree annual programme work |
| | Mechanism 6. Research Enriched Learning through embedding R&I methods, outcomes and external engagement with partners and research users: Addresses all four HM principles | <ul style="list-style-type: none"> Establish a group to discuss, design and develop new REL opportunities | <ul style="list-style-type: none"> REL Industry linked | <ul style="list-style-type: none"> REL internationally led |
| | Mechanism 7. Mirror Challenge Events | <ul style="list-style-type: none"> Establish a peer to peer student led strand to our RI interdisciplinary Challenge Event | <ul style="list-style-type: none"> 1 x Mirror Challenge Event | <ul style="list-style-type: none"> 1 x Mirror Challenge Event |

Dependencies

- Collaboration with Colleges
- Collaboration with SF and GEAP
- Engagement of R&I community

5. The civic university and place

University indicative milestones, outcomes and targets

Year 1

Year 2

Year 3

We want to position Hallam as the sector leader in the civic agenda, demonstrating genuine impact in our region through partnership working. To achieve this we need to build on our current strengths positioning the University to be at the forefront of relevant educational, skills and research place-based developments.

Lead: DVC (Strategy and Operations)

- Successful bid and deliverables for Civic University Network
- Civic University Agreement in place

- Sustainable model for Civic University network being delivered.

- Additional regional funding

Business Unit Plan

Business Unit indicative milestones, outcomes and targets

Context/Ambition

Deliverable (s)

Year 1

Year 2

Year 3

The RIs will open the doors to the public realm in a discreet number of thematic areas. They will instigate debate and cross sectoral participation, focusing on themes and challenges of global, as well as local concern. Our new programme situates RIs as leaders in civic engagement, contributors to regional, national and global policy forums, and place makers in partnership with locations and industries.

Mechanism 8. High Profile Public Lecture Series
[Linked to RIS plan priority 4.]

- Scheme designed to host x12 high profile speakers (competitive round nominations)

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Mechanism 9. Growing Industry Engagement

- Industry mapped onto thematic challenges
- Inaugural Annual SHU Industry Conference (ASIC) held

- Industry showcase 1
- 2nd Annual SHU Industry Conference (ASIC) held

- Industry showcase 2
- 3rd Annual SHU Industry Conference (ASIC) held

Mechanism 10. Developing cross-cutting threads regionally, nationally & internationally

- Map key cross-cutting strands via Challenge Events

- Develop cross cutting strand 1 (policy in context)

- Developing cross cutting strand 2 (data analytics)

CK KPI alignment:

Tier 1. 1 & 3 Tier 2. 1.b. 3.a. b. c.

Contribution to institution-wide KPIs:

Building a great university

Engagement

Dependencies

- Collaboration with BESE / BE
- Collaboration with Colleges
- Engagement of R&I community
- Working with HROD and RIS
- Professional Service Framework

Business Unit Delivery Priorities

| Ref no. | Link to delivery priority or priorities | Deliverable (s) | Business Unit indicative milestones, outcomes and targets | | | Dependencies |
|---------|--|--|---|---|---|---|
| | | | Year 1 | Year 2 | Year 3 | |
| 1 | A strong research and innovation culture | <ul style="list-style-type: none"> Implement Research Institutes' structures, strategic plans and associated support mechanisms Review activity/performance of Research Units Recruit, retain and reward research excellence, embedding EDI Promote an open, strong and confident research culture Develop PGR community and engagement, with consideration of diversity and sustainability Encourage and support international research collaborations including enhanced research links with strategic partners, and international PGR. Adding value through research and innovation enriched portfolios and student experience, emphasising specific activities to address engage, collaborate, challenge and thrive | <ul style="list-style-type: none"> Consolidation of RIs as business units The first challenge and horizon-scanning events undertaken Annual conference completed on focused challenge area | <ul style="list-style-type: none"> Developmental leadership programme Integration of UG and PGT research into conference Launch Annual Research review | <ul style="list-style-type: none"> Annual Research Review | <ul style="list-style-type: none"> Collaboration with Colleges Engagement of R&I community Working with HROD and RIS Professional Service Framework Annual Research Review |
| 2 | Financially sustainable growth of research and innovation income | <ul style="list-style-type: none"> Establish consistent and appropriate R&I financial model based on a recurrent 3-5 year profile Prioritise strategic bids development through horizon scanning, targeting large scale interdisciplinary and place based projects Influence government and funder policy and strategy Support diversification of funding with a balanced portfolio and increased overhead recovery - towards self sustainability | <ul style="list-style-type: none"> A new tendering model established Stakeholder map across 4 institutes & 3 challenges | <ul style="list-style-type: none"> 3 major thematic challenges identified with investment platforms | <ul style="list-style-type: none"> Maturing large scale income generation platform | <ul style="list-style-type: none"> Working with finance and RIS Professional Service Framework |
| 3 | Research with economic, social and cultural impact | <ul style="list-style-type: none"> Develop client-responsive, academically-driven and regionally-engaged pathways and activities. Raise internal and external profile of impactful research Work with BESE teams and RIS Innovation Team to optimise KEF metrics and results | <ul style="list-style-type: none"> The first set of global innovation fellowship applications submitted | <ul style="list-style-type: none"> Academic and stakeholder networks established around the 3 RI themes | <ul style="list-style-type: none"> RI 'future horizon' programme | <ul style="list-style-type: none"> Collaboration with Colleges Engagement of R&I community Engagement of external stakeholders |

Risks

| Ref no. | Risk Statement | Gross likelihood / impact | Impact on strategic theme / delivery priority | Estimated £ impact (if known) | Risk Owner | Intended mitigating actions and dependencies |
|---------|----------------------------------|--|---|-------------------------------|--|--|
| 1 | <i>Income thresholds not met</i> | <ul style="list-style-type: none"> Moderate risk, although RIs will be uniquely focused on positioning in relation to income opportunities | <ul style="list-style-type: none"> Moderate impact on themes and engagement platforms | | <ul style="list-style-type: none"> PVCRI/ RIDs/ CM | <ul style="list-style-type: none"> Robust financial planning and review |
| 2 | <i>Poor Internal Engagement</i> | <ul style="list-style-type: none"> Low risk if RI vision clearly articulated and owned by R&I community | <ul style="list-style-type: none"> High impact - RI success dependent on engagement mechanisms | | <ul style="list-style-type: none"> PVCRI/ RIDs/ DR/ ADRIs | <ul style="list-style-type: none"> Clear routes for disseminating information Early planning, involving internal stakeholders Dependent on workloads-line manager buy in to the RI programme |
| 3 | <i>Poor external engagement</i> | <ul style="list-style-type: none"> Low risk as RIs are well placed to develop and consolidate external links | <ul style="list-style-type: none"> Moderate impact - external engagement is central to RI model and will grow through increased R&I activity | | <ul style="list-style-type: none"> PVCRI/ RIDs | <ul style="list-style-type: none"> Early planning of events Stakeholder work to be prioritised |
| 4 | <i>Covid-19</i> | <ul style="list-style-type: none"> Moderate risk in terms of engagement and financial sustainability, although early signs are that R&I community is adapting to continue business delivery | <ul style="list-style-type: none"> Moderate impact. Need for adaptive response | | <ul style="list-style-type: none"> PVCRI/ RIDs/ DR/ ADRIs | <ul style="list-style-type: none"> Adaptive response to new and revised funding platforms Design for easy transfer to online modes of delivery Capturing learning for future planning Preparing a strategy for re-opening R&I business |
| 5 | <i>Adverse REF 2021 outcome</i> | <ul style="list-style-type: none"> Moderate risk - REF outcomes are likely to be variable across SUs | <ul style="list-style-type: none"> Moderate risk to research culture and QR funds. REF outcomes need to inform future RI Plans | | <ul style="list-style-type: none"> PVCRI/ DR/ ADRIs | <ul style="list-style-type: none"> Work to ensure high quality REF submission is well underway Additional impact & narrative work |