KT in the UK: recent evolutions

Tom Hockaday
NetVal 14 September 2021
Contents - KT in the UK: recent evolutions

What is it all about?
Evolution
Recent Evolution - KEF / KEC / KEM
Some thoughts ...
My work experience

University College London (1989-1993)
Bristol University (1993-2000)
Oxford University (2000-2016) - CEO Isis Innovation / Oxford University Innovation
Independent Consultant - Technology Transfer Innovation Ltd

Author - “University Technology Transfer - What It Is and How to Do It”
(Johns Hopkins University Press, 2020)
What is it all about?

Sometimes the commercial route is the best way to deliver benefits from university research results.
2002 Higher Education Innovation Funding

HEIF
£250m pa
Universities submit plans for capacity building and activities
Spread across campus
Amounts awarded by formula, based on current activity level
2014  Research Excellence Framework

1986 onwards  Research Assessment Exercise (RAE)
2014  Research Excellence Framework (REF)

- Research Outputs  65%
- Impact  20%
- Research Environment  15%

Impact Case Studies
https://impact.ref.ac.uk/casestudies/
## Research Excellence Framework (REF) Impact

<table>
<thead>
<tr>
<th>Year</th>
<th>Exercise</th>
<th>Impact</th>
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</thead>
<tbody>
<tr>
<td>1986</td>
<td>Research Assessment Exercise (RAE)</td>
<td>20%</td>
</tr>
<tr>
<td>2014</td>
<td>Research Excellence Framework (REF)</td>
<td></td>
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<tr>
<td>2021</td>
<td>Research Excellence Framework (REF)</td>
<td>25%</td>
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Results - 2022

ref.ac.uk
Knowledge Exchange Framework

KEF

KEF Metrics / Dashboard

KE Concordat
Knowledge Exchange Framework

The Knowledge Exchange Framework (KEF) provides a range of information on the knowledge exchange activities of Higher Education Institutions (HEIs) in England. ‘Knowledge exchange’ is what we call the wide range of activities HEIs undertake with partners. You can use the KEF to explore data and explanations of the different ways they work with their external partners, from businesses to community groups, for the benefit of the economy and society.
KEF DASHBOARD

1. Public and Community Engagement
2. Research Partnerships
3. Working with Business
4. Working with the public and third sector
5. Skills, enterprise and entrepreneurship
6. Local growth and regeneration
7. IP and commercialisation
Knowledge Exchange Concordat

Principle 1  Mission
Principle 2  Policies & Processes
Principle 3  Engagement
Principle 4  Working transparently & ethically
Principle 5  Capacity building
Principle 6  Recognition & rewards
Principle 7  Continuous improvement
Principle 8  Evaluating success

March 2021
126 HEPs have signed up to the Principles
HEP = Higher Education Provider (a University!)
www.keconcordat.ac.uk
SOME THOUGHTS
Purpose

What is the Purpose of your TTO/Office?
write it down, ‘a purpose statement’
What, then How
  1. What do we want?
  2. How can we achieve it?
Purpose

“The Technology Transfer Office helps researchers who want to commercialise the results of their research”

Dr Tim Cook, MD Isis Innovation 1997-2006

from: University Technology Transfer – What It Is and How to Do It
Tom Hockaday, Johns Hopkins University Press, 2020
Who Wants What?

**WHO**

You
Your Staff
University
Industry
Investors
Government
Society

... and Who Is Paying!

www.technologytransferinnovation.com

@TomHockadayOxon
<table>
<thead>
<tr>
<th>WHAT</th>
<th>Income</th>
<th>Impact</th>
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</thead>
<tbody>
<tr>
<td>Royalties</td>
<td></td>
<td>Reputation</td>
</tr>
<tr>
<td>Spin-out shares</td>
<td></td>
<td>Stories</td>
</tr>
<tr>
<td>Research Funding</td>
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</tbody>
</table>
Who Does **Not** Want What

No spin-out shares
No international deals
Hassle!
Bad stories! ‘Front page of the Newspaper’
Income - Impact

A false debate

Income = Impact ?   Yes, probably
Impact = Income ?   Not necessarily

But, you just do not know at the TT stage
Technology Transfer - Transfer the Technology
Do Deals!
The Future

• Other Crises & NERFs
• Who pays for the TTO?
• Spin-outs and Licensing
• Students
What do you really care about?
SUSTAINABLE DEVELOPMENT GOALS

1. NO POVERTY
2. ZERO HUNGER
3. GOOD HEALTH AND WELL-BEING
4. QUALITY EDUCATION
5. GENDER EQUALITY
6. CLEAN WATER AND SANITATION
7. AFFORDABLE AND CLEAN ENERGY
8. DECENT WORK AND ECONOMIC GROWTH
9. INDUSTRY, INNOVATION AND INFRASTRUCTURE
10. REDUCED INEQUALITIES
11. SUSTAINABLE CITIES AND COMMUNITIES
12. RESPONSIBLE CONSUMPTION AND PRODUCTION
13. CLIMATE ACTION
14. LIFE BELOW WATER
15. LIFE ON LAND
16. PEACE, JUSTICE AND STRONG INSTITUTIONS
17. PARTNERSHIPS FOR THE GOALS
Impact Rankings 2021

The Times Higher Education Impact Rankings are the only global performance tables that assess universities against the United Nations' Sustainable Development Goals (SDGs). We use carefully calibrated indicators to provide comprehensive and balanced comparison across four broad areas: research, stewardship, outreach and teaching.

The 2021 Impact Rankings is the third edition and the overall ranking includes 1,117 universities from 94 countries/regions.

Read more...

EXPLORE IMPACT RANKINGS FOR INDIVIDUAL SDGS

- Overall Ranking
- No Poverty
- Zero Hunger
- Good Health and Well-Being
- Quality Education
- Gender Equality
- Clean Water and Sanitation
- Affordable and Clean Energy
- Decent Work and Economic Growth
- Industry Innovation and Infrastructure
- Reduced Inequalities
- Sustainable Cities and Communities
- Responsible Consumption and Production
- Climate Action
- Life Below Water
- Life on Land
- Peace, Justice and Strong Institutions
- Partnerships for the Goals
Climate Change and TT

Tonnes of carbon captured, reduction of emissions

Not only your office building
What technologies are you transferring?
Gender Diversity and TT

University Challenge Seed Fund reporting 1999
Your TTO Staff, Governance, Committees

What technologies are you transferring?
What stories are you telling?
Race and TT

What are you doing about racial diversity?
Your TTO Staff, Governance, Committees

What technologies are you transferring?
What stories are you telling?

.... anything?
RESOURCES

**Toolkits**
- AUTM Women Inventors Toolkit
- NIH EDI Toolkit
- Test/toolkit for Racial Equity Impact Assessment
- IPO Gender Diversity in Innovation Toolkit

**Books**
- AUTM EDI Reading List
- Update Your DE&I Playbook
- 5 Must-Read Books on EDI in the Workplace

**Podcasts**
- Tech Transfer IP by Lisa Mueller

**Implicit Bias Tests**
- Harvard Implicit Bias Test
- American Bar Association Implicit

**Movies**
- Hidden Figures

**Articles**

www.GEDITT.com
TECHNOLOGY TRANSFER INNOVATION

Tom Hockaday

Tom Hockaday is a leading technology transfer leader, managing technology transfer activities for over 13 years from 2006 to 2019. Tom has over 27 years of experience.

Johns Hopkins
University Press
April 2020

UNIVERSITY TECHNOLOGY
WHAT IT IS AND HOW TO DO IT
TRANSFER

An International Perspective