

**KNOWLEDGE  
EXCHANGE  
CONCORDAT**

**26 October 2020**

## **Guidance for the completion and submission of action plans**

Higher education providers (HEPs) that participate in the development year for England are required to submit:

1. A summary of their institutional strategic objectives for knowledge exchange (KE)
2. A summary of their self-evaluation and gap analysis
3. A completed action plan.



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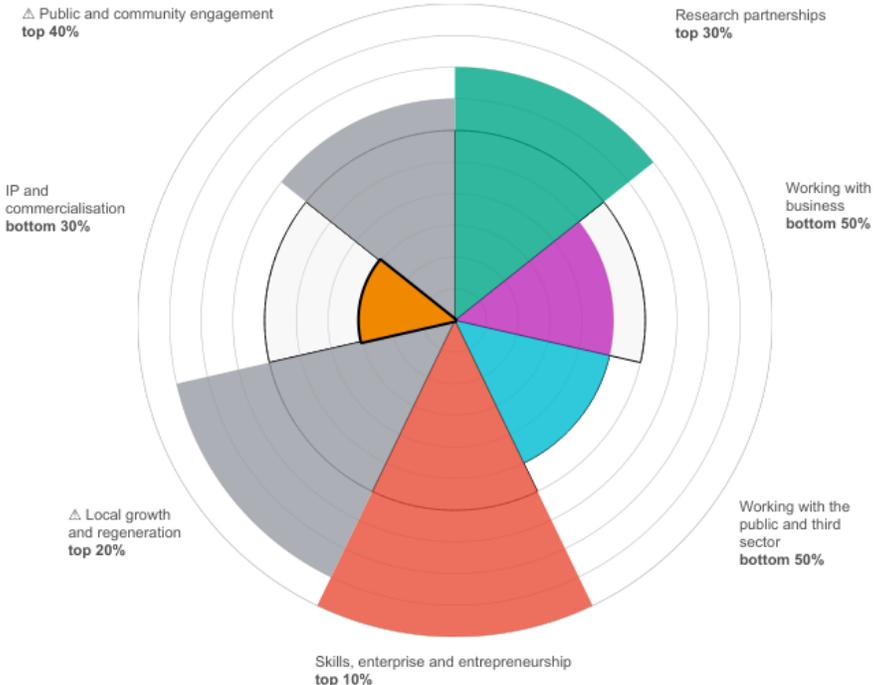
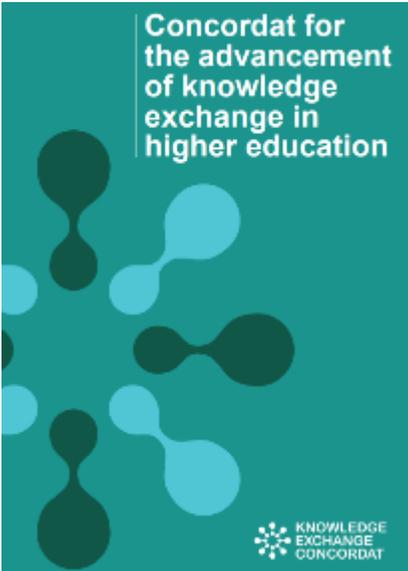
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1. A summary of their institutional strategic objectives for knowledge exchange (KE)
2. A summary of their self-evaluation and gap analysis
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“The self-evaluation summary should outline the main conclusions of the self-evaluation exercise and identify the relevant gaps in practices, policies and strategies for KE against the eight principles of the KE concordat.

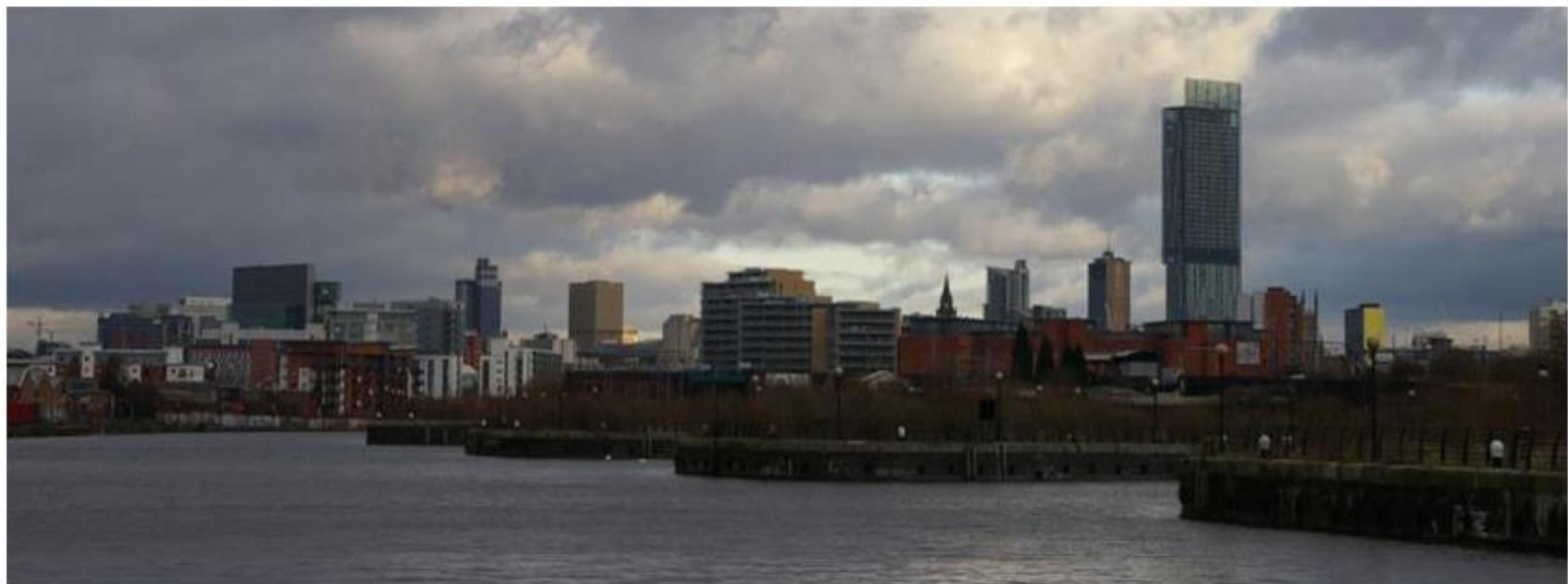
Given the diversity of HEPs, UUK and GuildHE do not want to outline a specific approach to self-evaluation. HEPs are encouraged to use their preferred tool for conducting a self-evaluation. The methodology and tool(s) used should be outlined in the self-evaluation summary.”

# Self-evaluation: a crowded space



# Manchester Beacon

connecting people, place & knowledge



# EDGE self-assessment matrix

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This tool allows you to assess your institution's support for public engagement. You can access a guide to how to use the tool here: [www.publicengagement.ac.uk/edge-tool](http://www.publicengagement.ac.uk/edge-tool)

You are welcome to use the EDGE tool for non-commercial educational purposes, where credit is given to the NCCPE.



National  
Co-ordinating  
Centre for  
Public Engagement

EMBRYONIC



DEVELOPING



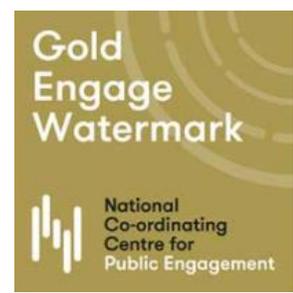
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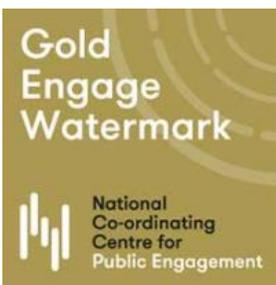
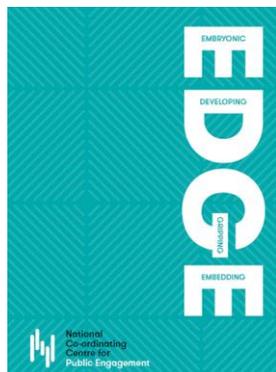
EMBEDDING



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Purpose 	Mission	There is little or no reference to public engagement in the organisational mission or in other institution-wide strategies.	Public engagement is referenced sporadically within the institutional mission documents and strategies, but is not considered a priority area.	Public engagement is clearly referenced within the institutional mission and strategies and the institution is developing an institution-wide strategic approach.	Public engagement is prioritised in the institution's official mission and in other key strategies, with success indicators identified. It is a key consideration in strategic developments in the institution.
	Leadership	Few (if any) of the most influential leaders in the institution serve as champions for public engagement.	Some of the institution's senior team act as informal champions for public engagement.	Some of the institution's senior team act as formal champions for public engagement.	The Vice Chancellor acts as a champion for public engagement and a senior leader takes formal responsibility. All senior leaders have an understanding of the importance and value of public engagement to the institution's agenda.
	Communication	The institution's commitment to public engagement is rarely, if ever, featured in internal or external communications.	Public engagement occasionally features in internal and external communications.	Public engagement frequently features in internal communications, but rarely as a high-profile item or with an emphasis on its strategic importance.	Public engagement appears prominently in the institution's internal communications; its strategic importance is highlighted, and resources and strategic support have been allocated to sustain this.
Process 	Support	There is no attempt to co-ordinate public engagement activity or to network learning and expertise across the institution.	There are some informal attempts being made to co-ordinate public engagement activities, but there is no strategic plan for this work. Some self-forming networks exist, not supported by the institution.	Oversight and co-ordination of public engagement has been formally allocated (e.g. to a working group or committee) but there is minimal support and resource to invest in activity.	The institution has a strategic plan to focus its co-ordination, a body / ies with formal responsibility for oversight of this plan, and resources available to assist the embedding of public engagement. There are a number of recognised and supported networks.
	Learning	There is little or no opportunity for staff or students to access professional development to develop their skills and knowledge of public engagement.	There are some opportunities for staff or students to access professional development and training in public engagement, but no formal or systematic support.	There are some formal opportunities for staff or students to access professional development and training in public engagement.	Staff and students are encouraged and supported in accessing professional development, training and informal learning to develop their skills and knowledge of engagement.
	Recognition	Staff are not formally rewarded or recognised for their public engagement activities.	Some departments recognise and reward public engagement activity on an ad hoc basis.	The university is working towards an institution-wide policy for recognising and rewarding public engagement activity.	The university has reviewed its processes, and developed a policy to ensure public engagement is rewarded and recognised in formal and informal ways.
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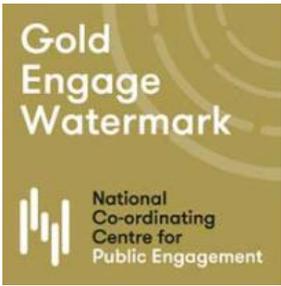
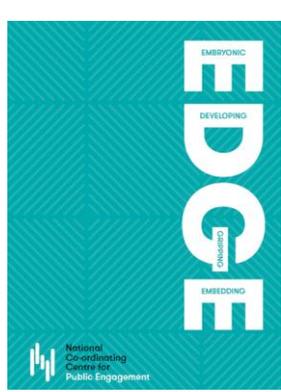
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## **Principles of self-evaluation**

As a development tool, 'maturity' frameworks are extremely valuable: encouraging discussion and reflection and focusing minds on concrete action to effect change, informed by evidence.

They are more likely to trigger action than conventional toolkits and how to guides.

When adopted widely, they help build common purpose and focus across disparate organisations and settings.



## Knowledge Exchange Framework Public & Community Engagement Narrative Template

For submission to [KEF@re.ukri.org](mailto:KEF@re.ukri.org) by Friday 16 October 2020\*  
Max words: 2,000 (plus 120 word lay summary).

\*The original deadline of 29 May 2020 was extended in response to the Covid-19 pandemic.  
Submissions must use the KEF narrative templates, but either this template or the version with the old submission date will be accepted.

### Aspect 1: Strategy

#### Developing your strategy

Information on your existing strategy, planning process and allocation of resources, including how you identified relevant public and community groups and their needs, and facilitated their ability to engage with the institution, as a means to help understand intended achievements.

### Aspect 2: Support

#### Practical support to deliver your strategy

Provide information about the practical support you have put in place to support your public and community engagement, and recognise the work appropriately.

### Aspect 3: Activity

#### Delivering your strategy: activities

Provide information on the focus of your approach and describe examples of the activity delivered. How do you know activities have met the identified needs of public and community groups? Please focus on the last three years of activity.

### Aspect 4: Results and learning

#### Evidencing success

Describe the outcomes and/or impacts of your activities. How have you evaluated these individual activities to ensure you understand whether they have addressed your strategic objectives – and intended achievements for public and community? To what extent have you learnt from your approach and applied this to future activity?

### Aspect 5: Acting on results

#### Communicating and acting on the results

How has the institution acted on the outcomes of activities or programmes to ensure it is meeting the wider strategic aims; to inform the development of this strategic approach; and to continuously improve and improve outcomes and impacts for public and communities? To what extent have the results of the work been shared with the communities involved, internally in the institution, and externally?



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*Refer to the supporting guidance document for examples of evidence you may wish to include to corroborate your self-assessment (page 15).*

Word count:

Self-assessment score

0



Insert  
score  
between

Developing your strategy

1. Planning phase, nothing yet in place
2. Embryonic, in early stages of development
3. Developing, implementation taking place
4. Fully developed and implemented in most but not all areas
5. Fully developed and embedded across the institution to exemplary standards

## Aspect 1: Strategy

### Developing your strategy

Score Criteria

Evidence and corroborating information

1	<p><b>Planning phase, nothing yet in place</b></p> <p>The institution indirectly supported public and community engagement, but had no strategy in place to focus their activity. Little evidence of needs identification.</p>	<p><i>Evidence you might include to corroborate your self-assessment. This is not an exhaustive list. They represent indicators that you may wish to consider in your response.</i></p> <ul style="list-style-type: none"> <li>• Evidence of any consultation and evidence gathering undertaken to inform your strategy.</li> <li>• Link to your strategy &amp; implementation plan for public and community engagement activity.</li> <li>• Evidence of how public and community engagement strategy and activity has supported wider institutional objectives.</li> <li>• The governance arrangements that are in place to oversee delivery of your strategy and ensure accountability.</li> <li>• If and how public and community engagement is included in the responsibilities for senior academic and professional service managers.</li> <li>• Evidence of the resources you have allocated to deliver your strategy, including external funding or grants you have secured.</li> <li>• Details of facilities and services that are accessible to the public and how these are promoted.</li> <li>• Evidence of how you have handled enquiries from community organisations and members of the public.</li> </ul>
2	<p><b>Embryonic, in early stages of development</b></p>	
3	<p><b>Developing, implementation taking place</b></p> <p>The institution has a strategy for public and community engagement and is beginning to implement it. The strategic priorities are informed by intelligence about who the institution is working with and why. There has been a commitment to resourcing public and community engagement activity.</p>	
4	<p><b>Fully developed and implemented in most but not all areas with outcomes and impacts becoming apparent</b></p>	
5	<p><b>Fully developed and embedded across the institution to an exemplary level, with a culture of continuous improvement and good evidence on outcomes and impacts</b></p> <p>The institution has implemented a strategy and plan for public and community engagement informed by public and community needs, with explicit goals, strong leadership, robust governance and accountability arrangements. The strategy has been reviewed regularly, and improvements have been implemented as a result. Appropriate resourcing of activities is in place, and is an integral part of wider long-term financial planning.</p>	

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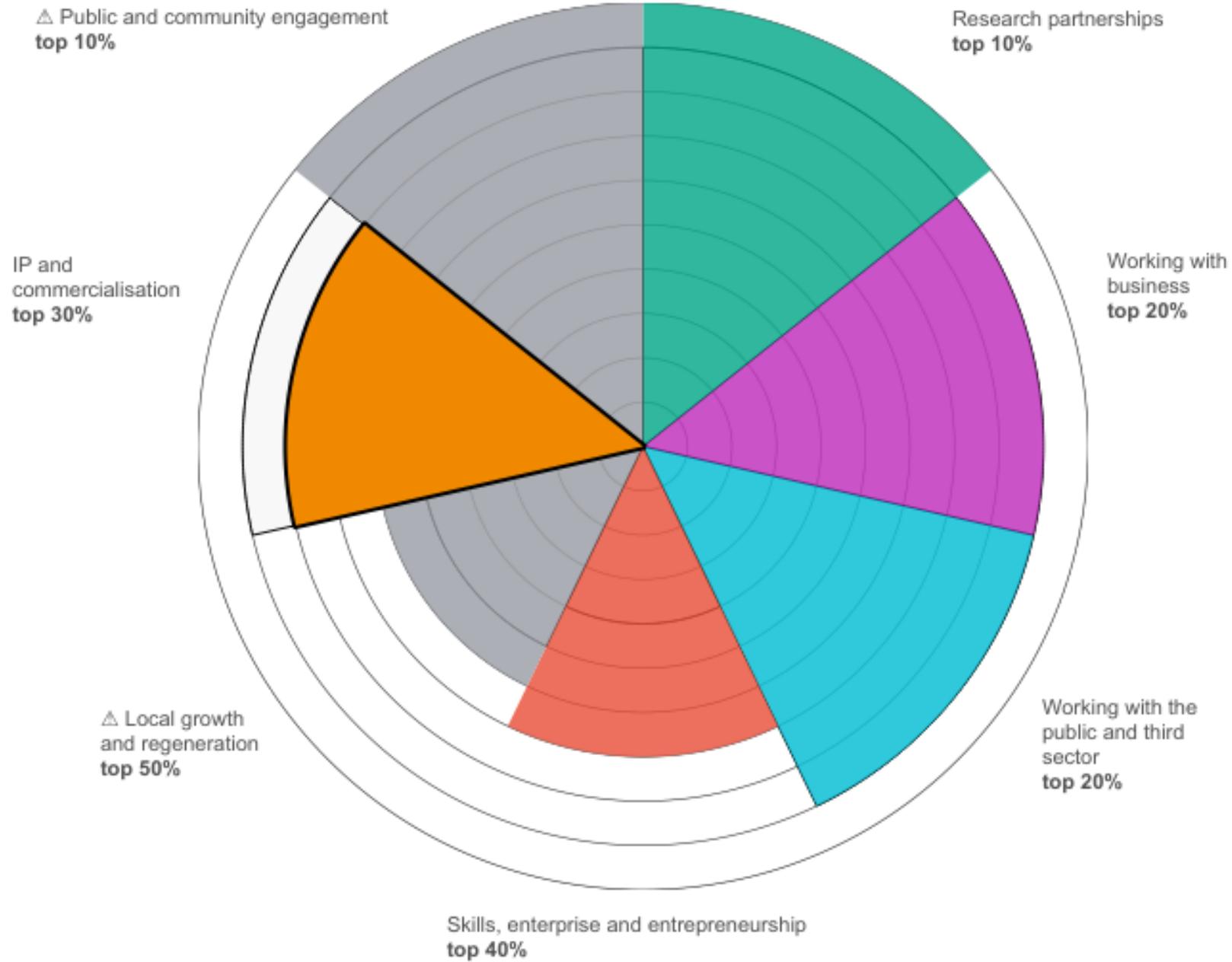
### Developing your strategy

Score Criteria

Evidence and corroborating information

1	<p><b>Planning phase, nothing yet in place</b></p> <p>The institution indirectly supported public and community engagement, but had no strategy in place to focus their activity. Little evidence of needs identification.</p>	<p><i>Evidence you might include to corroborate your self-assessment. This is not an exhaustive list. They represent indicators that you may wish to consider in your response.</i></p> <ul style="list-style-type: none"> <li>• Evidence of any consultation and evidence gathering undertaken to inform your strategy.</li> <li>• Link to your strategy &amp; implementation plan for public and community engagement activity.</li> <li>• Evidence of how public and community engagement strategy and activity has supported wider institutional objectives.</li> <li>• The governance arrangements that are in place to oversee delivery of your strategy and ensure accountability.</li> <li>• If and how public and community engagement is included in the responsibilities for senior academic and professional service managers.</li> <li>• Evidence of the resources you have allocated to deliver your strategy, including external funding or grants you have secured.</li> <li>• Details of facilities and services that are accessible to the public and how these are promoted.</li> <li>• Evidence of how you have handled enquiries from community organisations and members of the public.</li> </ul>
2	<p><b>Embryonic, in early stages of development</b></p>	
3	<p><b>Developing, implementation taking place</b></p> <p>The institution has a strategy for public and community engagement and is beginning to implement it. The strategic priorities are informed by intelligence about who the institution is working with and why. There has been a commitment to resourcing public and community engagement activity.</p>	
4	<p><b>Fully developed and implemented in most but not all areas with outcomes and impacts becoming apparent</b></p>	
5	<p><b>Fully developed and embedded across the institution to an exemplary level, with a culture of continuous improvement and good evidence on outcomes and impacts</b></p> <p>The institution has implemented a strategy and plan for public and community engagement informed by public and community needs, with explicit goals, strong leadership, robust governance and accountability arrangements. The strategy has been reviewed regularly, and improvements have been implemented as a result. Appropriate resourcing of activities is in place, and is an integral part of wider long-term financial planning.</p>	

**Research England  
Knowledge exchange framework**



The University of Manchester

**Section 3: Action plan**

KE concordat principle	To what extent does your higher education provider meet this principle (e.g. on a scale of 1-4, where 1 is 'not at all' and 4 is 'entirely')?	Where gaps have been identified in the self-evaluation exercise, please provide details of your improvement plan for meeting the requirements of this principle. Please indicate the resources to support the plan.	Please identify the top five priority actions for your higher education provider. These five priority actions should be taken across the eight principles (five in total).	Please innova demor higher meets We we exam with fi princip
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2. Policies and processes				
3. Engagement				
4. Working transparently and ethically				
5. Capacity building				
6. Recognition and rewards				
7. Continuous improvement				
8. Evaluating success				

# Concordat for the advancement of knowledge exchange in higher education

**Section 3: Action plan**

KE concordat principle	To what extent does your higher education provider meet this principle (e.g. on a scale of 1-4, where 1 is 'not at all' and 4 is 'entirely')?	Where gaps have been identified in the self-evaluation exercise, please provide details of your improvement plan for meeting the requirements of this principle. Please indicate the resources to support the plan.	Please identify the top five priority actions for your higher education provider. These five priority actions should be taken across the eight principles (five in total).	Please innova demor higher meets We we exam with fi princip
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# Concordat for the advancement of knowledge exchange in higher education

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# Concordat for the advancement of knowledge exchange in higher education

## Capacity building

We ensure that our staff and students are developed and trained appropriately to understand and undertake their roles and responsibilities in the delivery of successful KE.



## Enablers

1. A diverse workforce in an inclusive environment.
2. Qualified and/or accredited KE professionals
3. Formal training, mentoring, sharing best practice and networks.
4. Reviews of performance, including feedback from external partners.
5. Professional standards via accreditation, peer review, and staff exchange.
6. KE part of a new staff induction and ongoing staff development
7. Training supports KE activities, including induction
8. Support to academic colleagues in their KE activities.
9. Support for staff and students to grow new enterprises or activities.
10. Training for students as part of their curricular or non-curricular activities.
11. KE skills in curricular and non-curricular student activities (UG & PG) are clearly defined

## Capacity building

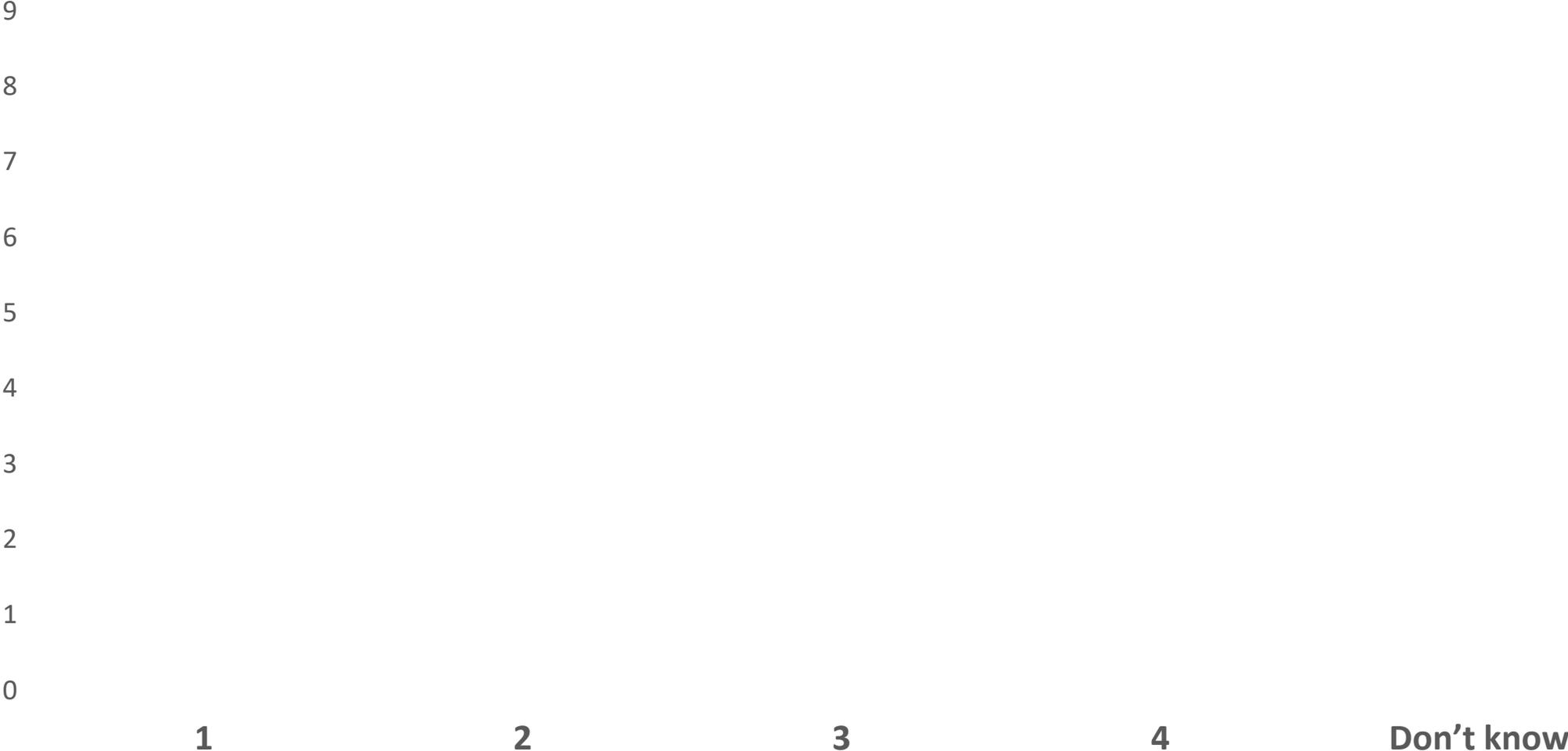
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## Enablers

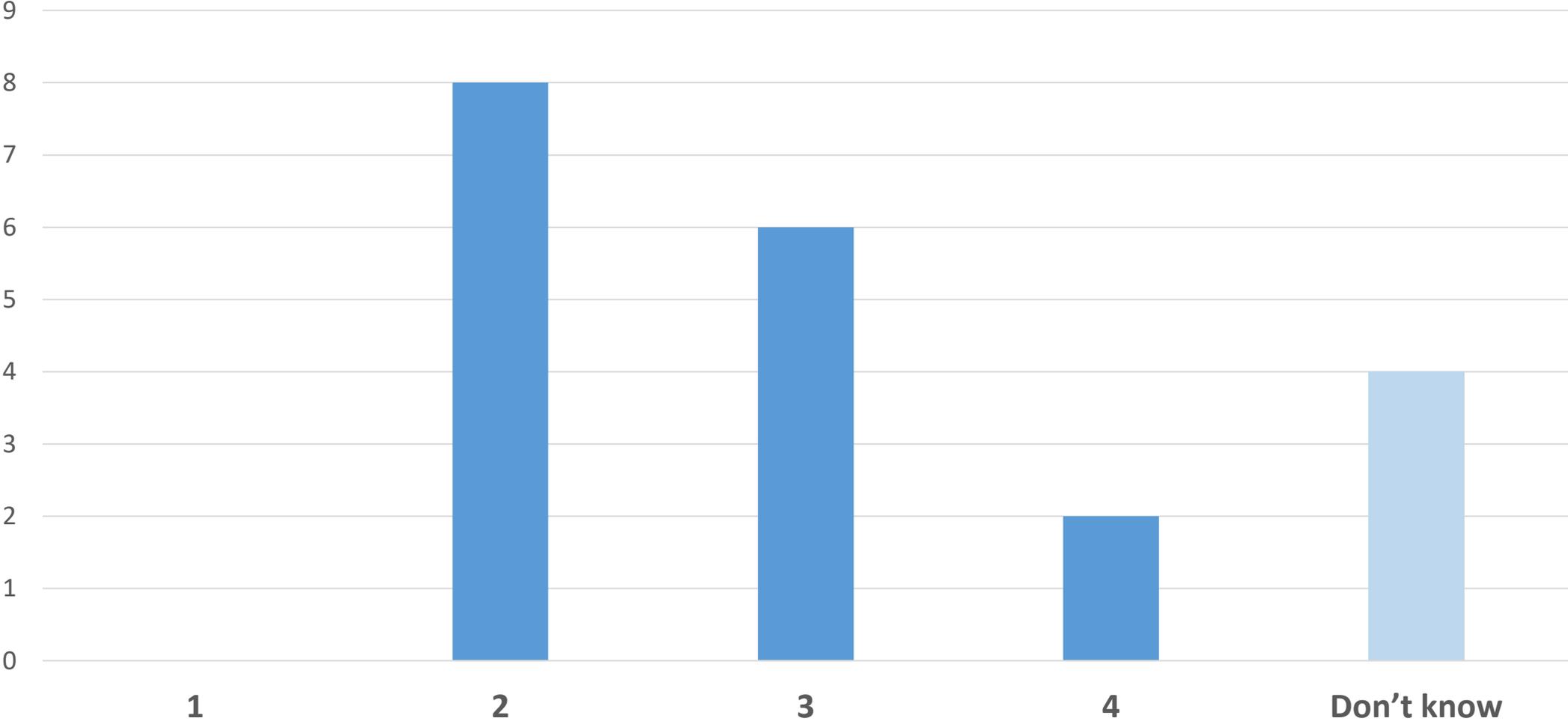
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**To what extent does your higher education provider meet the Capacity Building principle (on a scale of 1-4, where 1 is 'not at all' and 4 is 'entirely')?**



N= 20

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# Defining the KE process



## Purpose and principles

*Do we have a clear sense of purpose, a robust strategy and strong leadership?*



## Systems and processes

*Do we have a robust and effective set of systems and processes in place to implement and monitor our strategy?*



## Engagement

*How effectively are we engaging our key staff and stakeholders in developing and delivering our strategy?*

# Defining the KE process



## Purpose and principles

*Do we have a clear sense of purpose, a robust strategy and strong leadership?*

- Mission
- Leadership
- Communication

## Systems and processes

*Do we have a robust and effective set of systems and processes in place to implement and monitor our strategy?*

- Support
- Learning
- Reward and recognition

## Engagement

*How effectively are we engaging our key staff and stakeholders in developing and delivering our strategy?*

- Staff
- Students
- Public

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- Recognition & rewards
- Evaluating success
- Continuous improvement

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*How effectively are we engaging our key staff and stakeholders in developing and delivering our strategy?*

- Staff
- Students
- Public

- Engagement
- Working transparently and ethically

# Defining the KE process



## Purpose and principles

*Do we have a clear sense of purpose, a robust strategy and strong leadership?*

- Mission
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- Mission

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## Systems and processes

*Do we have a robust and effective set of systems and processes in place to implement and monitor our strategy?*

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- Learning
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- Policies and processes
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- Continuous improvement

- Support
- Results & learning
- Acting on results



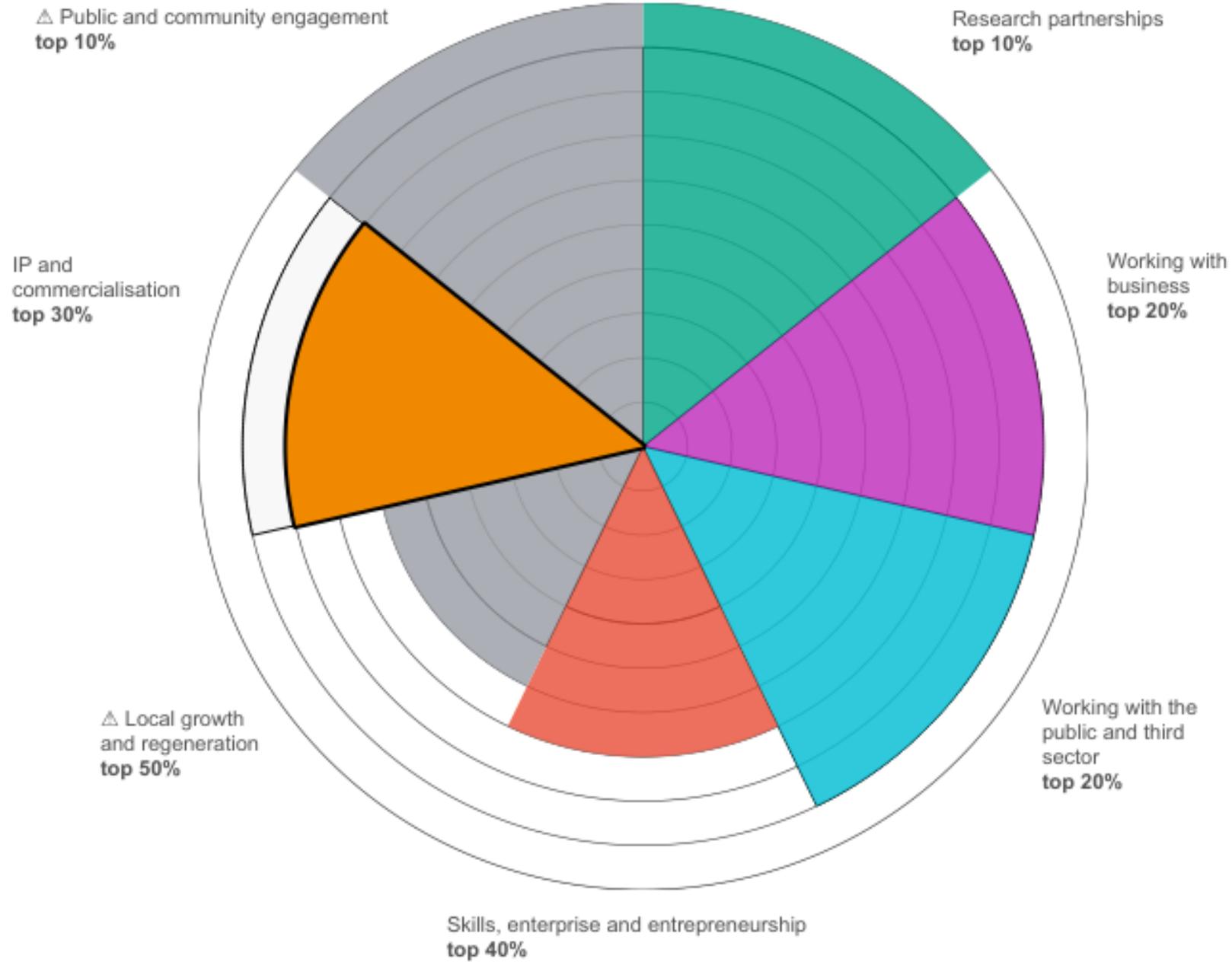
## Engagement

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- Staff
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**Research England**  
Knowledge exchange framework



## **Some challenges and issues**

When self-evaluation is used to compare institutions, does 'reputation' end up trumping 'honest reflection'?

When we evaluate ourselves, how can we accurately and honestly benchmark ourselves against others (especially when we don't know a lot about what others are doing?)

## **Breakouts**

Your experience of self evaluation: what has worked well? What challenges have you encountered?

What support would help you to undertake the Concordat self evaluation and action planning process?

# The Social Enterprise Gold Mark and how it helps self evaluation and reflection



**SOCIAL ENTERPRISE GOLD MARK**  
ACCREDITED FOR BUSINESS EXCELLENCE

**Lucy Findlay MBE**  
**Managing Director**  
**Social Enterprise Mark CIC**

# What is the Social Enterprise Gold Mark?

The Social Enterprise Gold Mark is a recognised standard of social enterprise excellence.

It is the only quality standard to provide a comprehensive framework for helping social enterprises build towards excellence and outstanding practice.

A non-HEI specific accreditation with a wide and broad approach.



**SOCIAL ENTERPRISE GOLD MARK**  
ACCREDITED FOR BUSINESS EXCELLENCE

# Key KEF Concordat Principles

- Contributes in some way to most of the principles but will vary according to institution
- KE Concordat Principle 8 – Evaluating Success
  - Self assessment: e.g. Third party evidence of the value of interventions
  - Third-party evidence of contributions to local, national and global KE
  - Helps review and continually improve through 3 year action plan

# Approach to assessment

- Structured approach, but more of a personal method of presenting positive evidence
- Flexible and accounts for the size/capacity of the applicant
- Evidence is broad and non prescriptive
- Modular
  - Social Enterprise Mark assessment – Social Impact Statements help establish “base line” of best practice
  - Follow up with Social Enterprise Gold Mark assessment
- Great customer feedback about the process

# Robust governance

- Robust governance means being able to demonstrate how a strong purpose is reflected in top-level governance arrangements, business planning and objective setting.
- A good social enterprise should be able to show there is an informed, capable, and accountable leadership, supported by appropriate structures that contribute towards the effective management of people and business interests

# Stakeholder Engagement

- Effective stakeholder engagement is evident through how a social enterprise can show how different stakeholders have influenced plans and decision-making, helping ensure social objectives are being effectively targeted and served.
- A good social enterprise should be able to show how it has identified and prioritised different stakeholder groups, and how they are involved in governance and decision-making structures.

# Ethical Business Practice

- A good social enterprise will employ ethical and effective business practices that reinforce its social values and contribute to the positive social differences it creates.

# Financial Transparency

- A good social enterprise is financially transparent so that it may be held accountable, through demonstrating how annual income and accumulated profits have been used.
- This includes reporting on investments in support of social purposes and also how a social enterprise can show it manages finances responsibly and in ways that reinforce trading sustainability, which underpins the capability to create regular social benefit.

# Reporting Social Impact

- A good social enterprise will regularly monitor and report on the social impact it creates – in terms of the scope of its social outputs and the benefits these deliver for people and communities.
  - Measuring and reporting on these social outcomes provides transparency for stakeholders and should inform ongoing plans and developments.

# The Gold Mark Review Form

## **Process**

- In essence, a self-assessment of how Gold Mark criteria is being met.
- Walks people through different areas of social enterprise best practice to think about.
- Asks them to summarise “headlines” and link to evidence containing wider detail.
- Links should be to existing evidence – not manufactured to satisfy assessment.

# The Gold Mark Review Form and Assessment

## **Key Features**

- Flexible method – answer as much or as little seems relevant.
- Some minimum expectations but organisations should focus on areas of strength.
- It helps point the assessor to both positive evidence and possible development needs.
- Interviews (possibly a survey) with employees corroborate and build upon these “pointers”.

# Register your interest

## Web:

[www.socialenterprisemark.org.uk](http://www.socialenterprisemark.org.uk)

## Email:

[enquire@socialenterprisemark.org.uk](mailto:enquire@socialenterprisemark.org.uk)

## Ring our helpline:

 **0345 504 6536**

