

Annex B

Survey Questionnaire

A. Institutional strategy and economic development

A1. In what areas do you see the HEI as whole making the greatest contribution to economic development? (Please tick the top three only)

- | | |
|---------------------------------------------------------------------|--------------------------|
| | Top three |
| • Access to education | <input type="checkbox"/> |
| • Graduate retention in local region | <input type="checkbox"/> |
| • Technology transfer | <input type="checkbox"/> |
| • Spin-off activity | <input type="checkbox"/> |
| • Supporting small and medium sized enterprises (SMEs) ¹ | <input type="checkbox"/> |
| • Attracting inward investment to region | <input type="checkbox"/> |
| • Research collaboration with industry | <input type="checkbox"/> |
| • Strategic analysis of regional economy | <input type="checkbox"/> |
| • Attracting non-local students to the region | <input type="checkbox"/> |
| • Support for community development | <input type="checkbox"/> |
| • Developing local partnerships | <input type="checkbox"/> |
| • Management development | <input type="checkbox"/> |
| • Meeting regional skills needs | <input type="checkbox"/> |
| • Meeting national skills needs | <input type="checkbox"/> |

A2. Does the HEI have a strategic plan for business support? Please indicate on a scale from 1-5 which of the following statements most closely accords with your state of implementation in 2000-01. (For example, if between the first and middle statement the answer is 2. Record the score in the box below the table)

1	2	3	4	5
No strategic plan in place. Ad hoc approach to business support.		Strategic plan developed and only partially implemented, or restricted to certain departments or central functions only.		Strategic plan developed as a result of an inclusive process across the whole HEI. Accepted across almost all units and recommendations implemented. Use of plan to set targets and monitor achievement.

Answer

¹ As defined by the Department for Trade and Industry (DTI)

A3. Does the HEI set out to work more closely with particular business sectors or clusters? (Tick all boxes that apply)

- Aerospace
- Agriculture
- Biotechnology
- Automotive
- ICT industries
- Medical science/technology
- Not-for-profit organisations
- Public sector
- Other (please specify)

A4. If you answered question A3, please indicate how these priority sectors were determined. (tick all boxes that apply)

- The HEI is a specialist institution focused on sector specific areas
- The HEI took its cue from priorities in RDA regional strategies
- Response to demand from companies in these sectors
- The HEI identified important business clusters in its region
- These sectors had best fit with the institution's expertise
- The HEI focused on a 'gap in the market' left by other HEIs
- Other (please specify)

A5. Is the HEI involved in the development and implementation of regional skills strategies in terms of the provision of expertise and data and the involvement of senior HE staff in regional partnerships? (Please indicate on a scale from 1-5 which of the following statements is appropriate for 2000-01)

1	2	3	4	5
Passive response to skills strategies. No involvement in steering committees, no provision of data or expertise. No attempt to influence or respond to strategy during consultation.		Some engagement with regional partners and provision of expertise and data, but approached as a narrow sectoral interest. Involvement from officers with defined role rather than leadership inputs.		Pro-active engagement providing expertise data, interpretation and leadership inputs. HEI seen as a core asset in the region and becomes a central element within the strategy.

Answer

A6. Is there business representation on your governing body?

Number of members on governing body	
Number that are from business	

A7. Which of the following regional/local/other units is of greatest priority in your university's institutional mission?

- Regional/local area not of any significance to mission
- RDA area (eg, East Midlands, South West)
- Local authority area (county or unitary)
- Locality – city or town
- Area defined by the HEI (eg, surrounding counties especially if crosses regional boundaries or is multi-county)

Please describe what you consider to be your local region as indicated above. If this is specified in your institutional plan or other formal documentation then please provide this definition.

A8. How would you rate the level of incentives for your staff to engage with industry and commerce? (Please grade your institution on the following scale from 1-5 for the situation during 2000-01)

1	2	3	4	5
Barriers outweigh any incentives offered. General corporate culture is focused on internal activities and narrow interpretation of teaching and research. Collaboration with industry seen by staff as detrimental to career progression.		Some incentives in place, but with some barriers remaining. Typically policy may be generally supportive but there is a lack of understanding across the institution. Promotions committees still take a narrow focus on research even though guidance suggests industrial collaboration is valued equally.		Strong positive signals given to all staff to encourage appropriate levels of industrial collaboration. Incentive procedures well established and clearly understood and applied.

Answer

B. Collaborative research with business

B1. What was the HEI's income from public-funded collaborative research grants involving business co-funding or formal collaboration?

(NB Please exclude income from any project that does not involve direct business participation in the form of part sponsorship or direct collaboration. For example, exclude mainstream response mode research council projects without business partners, or EU FP projects with no industrial partners)

	2000-01 Total (£)
Research Councils	
DTI/OST	
EU Framework Programme	
Other Government departments (inc NHS)	
Other	

B2. Approximately how many contracts with businesses were signed during 2000-01 and what was the total value? How many and what was the value of contracts with SMEs?

Number of contracts	Number of contracts with SMEs	Total value of contracts (£)	Total value of contracts with SMEs (£)

B3. How many CASE awards did the HEI hold (number of students funded) and for how many was the partner within the same region?

	2000-01
Total number of CASE awards	
Number with partners in the same region	

B4. What were the numbers of Teaching Company Programmes and Teaching Company Associates, and what proportion were with firms within the same region?

	2000-01
Total Teaching Company Programmes	
Total Teaching Company Associates	
Teaching Company Programmes with regional partners	
Teaching Company Associates with regional partners	

B5. Does the HEI provide equipment-related services for industry, such as analysis, measurement and testing?

Yes No

What was the total income in 2000-01 from the provision of such services?

	Total
Income 2000-01 (£)	
Numbers of firms involved	

C. Intellectual property (IP)

C1. Do you monitor the number of invention disclosures made each year?

Yes No

C2. If yes, how many disclosures have been made in 2000-01?

C3. Does the HEI exert ownership over intellectual property by filing patents? (Please indicate the principal method only)

Yes, patents filed by the HEI in-house
Yes, patents filed on behalf of the HEI by another organisation
No action taken

C4. How many patents have been filed by or on behalf of the HEI in the last year? (NB Count as one patent either a UK patent or a European patent, but do not count multiple filings of the same patent in different countries)

	2000-01
Number of total UK patents filed	
Number of new UK patents filed	
Number of UK patents granted	

C5. Does the HEI have an in-house capability to seek out licensing opportunities for its IP, or does it use an external agency? (Please indicate the principal method only)

Yes, in-house capability
Yes, external agency
No action taken

C6. How many licences/options have been executed on the basis of HEI-owned intellectual property over the last year? (Exclude software and biological material end-user licences under £1,000)

Non-software licences	2000-01
Licences granted to UK based companies	
Licences granted to companies based overseas	

Software licences only	2000-01
Licences granted to UK based companies	
Licences granted to companies based overseas	

C7. What have been the total revenues from IP? (Include royalties on patents, copyrights etc, but exclude software and biological material end-user licences under £1,000)

2000-01 (£)	
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C8. What were the total costs of IP protection activities? (Include specialist staff, consultancies, patent costs and legal fees)

2000-01 (£)	
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C9. Is there a requirement within the HEI to report the creation of the following types of intellectual property? (Tick all boxes that apply)

	Always	Usually	Rarely/Never
Inventions	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Computer software or databases	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Literary or artistic works	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Educational software and multimedia	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Industrial designs	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Trademarks	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Integrated circuit topographies	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
New plant or animal varieties	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

C10. Are individuals rewarded by the institution for their intellectual property?

Yes

No

C11. If so, what percentage of net revenues is given to inventors if cumulative net income exceeds £100,000?

D. Consulting activities

D1. Does the HEI have a central dedicated unit which provides the following? (Tick all boxes that apply)

- An enquiry point for SMEs
- Assistance to SMEs in specifying their needs
- A required contracting system for all staff-business consulting activities
- Indemnity insurance for staff

D2. How many firms have been assisted through consulting activities and what percentage have been based in the region?

	2000-01
Number of firms assisted through consulting activities	
Percentage based in the region	

D3. What was the total income from consulting handled through formal HEI channels? (Include individual payments direct to staff where known)

Total income 2000-01		Total number of contracts 2000-01	
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D4. Does the HEI have a commercialisation company or department to manage consulting links and other external interactions?

- No Yes, exploitation company Date established
- Yes, internal department

D5. How many staff are employed in commercialisation and industrial liaison offices? (Full-time equivalents)

E. Spin-off firms

‘Spin-offs’ are enterprises, in which an HEI or HEI employee(s) possesses equity stakes, which have been created by the HEI or its employees to enable the commercial exploitation of knowledge arising from academic research. Other ‘start-up’ companies may be formed by HEI staff or students without the direct application of HEI-owned intellectual property.

Four types of spin-off or start-up firms can be defined:

- spin-off companies established using HEI intellectual property and in which there is some element of HEI ownership
- spin-off companies to which the HEI has assigned or licensed IP, but in which it has no equity
- start-up companies involving current or former HEI staff as founders where the HEI has neither ownership nor an IP agreement. (In this case the HEI staff must be connected to the HEI immediately prior to formation of the company)
- graduate start-up companies that have originated through the direct involvement of the HEI or through a dedicated graduate start-up programme.

E1. In the following table please insert the required information concerning each group of firms.

	Number established 2000-01	Number still active which have survived at least 3 years	Estimated current employment of all active firms (FTE)	Estimated current turnover of all active firms (£)
Spin-offs with some HEI ownership				
Formal spin-offs, not HEI-owned				
Staff start-ups				
Graduate start-ups				

E2. What has been the income to the HEI from the sale of shares in spin-off companies during 2000-01?

E3. Does the HEI provide support for spin-offs through the following mechanisms, either provided by the HEI or in collaboration with a partner organisation? (You may tick both column one and two if appropriate)

	HEI provided	Partner provided	None
• On-campus incubators	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
• Other incubators in the locality	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
• Science park accommodation	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
• Entrepreneurship training	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
• Seed corn investment	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
• Venture capital	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
• Business advice	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

F. Training and personnel links

F1. To what extent does the HEI monitor skills needs and sectoral change through labour market intelligence (LMI), and take this into account in planning provision? (Please grade your institution on the following scale from 1-5 for 2000-01)

1	2	3	4	5
No monitoring of skills, general use of LMI, or collaboration with employers		Moderate responsiveness – some changes in provision based on forecasting of demand using LMI, but little ongoing dialogue with employers and other bodies. LMI would typically be examined in central service units but not disseminated and used in departments.		Sophisticated monitoring systems at HEI level, with provision of appropriate data to individual departments. Evidence that information from LMI and employer suggestions are acted upon at central and departmental levels.

Answer

F2. To what extent do individual courses actively involve employers in the development of content and regular reviewing of the curriculum? (Please grade your institution on the following scale from 1-5 for 2000-01)

1	2	3	4	5
No links with employers in development of locally oriented courses or overall shaping of the curriculum.		Some dialogue with employers and other bodies about the nature of courses, but limited for example to specific vocational areas, or one-off exercises.		All departments regularly consult with employers and other partners on curriculum where relevant. Specialist subjects are kept up to date and relevant to the labour market. More generic skills developed in all courses as required.

Answer

F3. How many undergraduates undertake placements in business?

Type of placement	Numbers of students involved 2000-01	% of participants who find work with these employers after graduation
1 year sandwich placements		
Shorter placements required for course		
Optional placements organised by the HEI		
Other		
Total		

F4. How are these placements organised? (Please tick all that apply),

- Via a central placement department
- Individual school or department level
- Via careers service
- Via students union
- Ad hoc between students and businesses
- Via external intermediary organisation (please specify)

F5. Does your institution provide the following? If so, how many and what was the total revenue in 2000-01?

- Distance learning for businesses Total_____
- Continuous work-based learning Total_____
- Short bespoke courses for business on campus Total_____
- Short bespoke courses at companies' premises Total_____

Total revenue (£)

G. Support for economic development activity (national and regional)

G1. Has the HEI received funding from any of the following programmes in 2000-01?

- European Regional Development Fund (ERDF)
(Objective 1 or 2 areas, Regional Challenge)
- EU Community Initiatives
(i.e. ERDF/ESF thematic programmes such as RECHAR, RETEX, KONVER, ADAPT, HORIZON)
- European Social Fund (ESF)
- Single Regeneration Budget
- City Challenge
- DfES Higher Education Regional Development Fund/
Skills Development Fund
- Other local or national economic development programmes
(Please provide names of programmes)

G2. What was your income from various economic development programmes in 2000-01?

Programme	Income (£)
ERDF income (revenue projects)	
ERDF income (capital)	
ESF income	
Single Regeneration Budget and related central government regeneration programmes	
Other regeneration grants and income from local and regional bodies	

G3. What role do these programmes play for the HEI? (Please tick the three most important roles only)

Top three

- Additional funds for teaching, training
- Additional funds for research
- Enabling capital projects - new building/accommodation
- Acquiring research equipment (used also by industry)
- Building strategic links with local industry
- Fulfilling regional mission through new services to industry
- Facilitating partnerships
- Enhancing knowledge of labour market needs
- Enhancing redesign of curriculum
- Facilitating community development
- Other (please specify)

G4. Which of the following statements best describes your partnership arrangements with local and regional bodies? (Please grade your institution on the following scale from 1-5)

1	2	3	4	5
No engagement with community regeneration schemes, apart from individual efforts.		Some representation of the HEI on local partnerships at senior management level, but with limited implementation capability. Main focus is on research role and possible property development role.		Active and creative engagement with community programmes, with the HEI taking a leadership position and applying a wide variety of resources. Community regeneration seen as a mainstream activity with role for access policy, link to student community action and staff involvement as part of staff development.

Answer

H. Administration of the questionnaire

H1. Approximately how much time was spent in completing this questionnaire, and what do you estimate was the cost to your institution?

H2. Were any of the questions impossible to answer due to the unavailability of data? (If so, which ones and why?)

H3. Were any of the questions difficult to answer without an excessive degree of additional analysis? (If so, which ones and why?)