Knowledge Transfer Partnerships

HANDBOOK: MANAGING KNOWLEDGE TRANSFER PARTNERSHIPS

AVAILABLE FOR KTP PROJECT SUPERVISORS AND OTHERS INVOLVED IN KNOWLEDGE TRANSFER PARTNERSHIPS

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1. INTRODUCTION

1.1 Knowledge Transfer Partnerships

Knowledge Transfer Partnerships is a government initiative introduced in mid-2003 as the successor to, and closely based on, the Teaching Company Scheme (TCS), which originated in 1975. It is funded by a number of public sector organisations (‘the funding organisations’) with the policy and administrative arrangements led by the Technology Strategy Board (TSB) which currently provides approximately 75% of the total funding. For an up-to-date list of all funding organisations please visit www.http://www.ktponline.org.uk/sponsors/sponsors.aspx

Whilst the funding organisations collectively agree the overall policy for Knowledge Transfer Partnerships and monitor its operation, each of the funding organisations specifies its own criteria for supporting Knowledge Transfer Partnerships in order to ensure that it only supports individual Knowledge Transfer Partnerships that fall within its remit, whether defined by business sector, academic discipline or region.

1.2 The Partnerships

Knowledge Transfer Partnerships are established between companies or, in a limited number of cases, health or education organisations and institutions and organisations in the knowledge base. In this context the knowledge base comprises higher education institutions in the UK, further education institutions in the UK teaching at least the equivalent of National Vocational Qualification level 4, independent research and technology organisations in the UK and public sector research institutions or establishments in the UK. In each Partnership, a team is established to implement agreed changes central to the future plans of the partner company or health or education organisation. Each team comprises at least a member of the company or health or education organisation, called the Company Supervisor, a member of the Knowledge Base Partner, called the Knowledge Base Supervisor, and a person recently qualified with the equivalent of a first or higher degree or a National Vocational Qualification level 4 (or equivalent), called a KTP Associate.

The objectives of every Knowledge Transfer Partnership are to:

• facilitate the transfer of knowledge and technology and the spread of technical and business skills
• stimulate and enhance business relevant research and training undertaken by the knowledge base
• provide company-based training for Associates to enhance their business and specialist skills.

Following submission of a Partnership Grant Application and Proposal Form that is considered by a Partnership Approvals Group that meets approximately 8 times a year and, if considered appropriate, approval by an official of the TSB acting on behalf of all the funding organisations, offers of grant are made by the TSB to Knowledge Base Partners to supplement the financial support for the partnerships provided by Company Partners.

1.3 Scope of Knowledge Transfer Partnerships

There are many hundreds of partnerships established through Knowledge Transfer Partnerships and the schemes that preceded it (TCS – the Teaching Company Scheme – and CBP – Colleges and Businesses in Partnership). They involve professional staff from companies of all sizes and all sectors as well as from health and education organisations and from over 120 knowledge base organisations. The common feature of all members of this group is an involvement in the practical implementation of innovation and the management of change. The innovations may involve the application of any area, or combination of areas, of engineering, technology management or social science. All participants in Knowledge Transfer Partnerships have the opportunity, not only to contribute to the success of their own projects, but to be informed about the progress and problems experienced by others involved in similar partnerships. All participants are encouraged to exploit the opportunity to the full, for example by attending workshops, seminars and conferences aimed at showing good practices in knowledge transfer and innovation.
1.4 Management of Knowledge Transfer Partnerships

The TSB has contracted the day-to-day management of Knowledge Transfer Partnerships to a company called AEA. This comprises, in addition to professional and administration staff based mainly in the company's office in Harwell, Oxfordshire, Advisers, each of whom covers a designated area of the United Kingdom. AEA operates a KTP Programme Office in order to administer the Knowledge Transfer Partnerships scheme on behalf of the Government and to promote good practice in managing successful Knowledge Transfer Partnerships. KTP Associates are expected to perform to the National Management Standards and to complete a CMI Level 5 Diploma in Management and Leadership. AEA is an approved Diploma and NVQ Centre providing support to and assessment of KTP Associates.

An Adviser is assigned to each Knowledge Transfer Partnership and has responsibilities to support and advise participants so that best practice procedures are adhered to and the overall objectives of Knowledge Transfer Partnerships are achieved, and to support KTP Associates regarding the attainment of the CMI Level 5 Diploma in Management and Leadership.

1.5 Establishment of a Partnership

Prior to the establishment of a Knowledge Transfer Partnership the partner organisations jointly submit a Partnership Proposal and Grant Application Form. The forms are expected to show how and when the proposed Partnership will achieve the three key objectives of every Knowledge Transfer Partnership (see paragraph 1.2) as well as the aims of the particular Partnership and the resources to be deployed. In addition to being an application for a grant, the form should provide evidence that detailed planning has taken place so that the Partnership is likely to meet its declared aims within the identified timeframe and resources. The form is also an agreement between the proposed partners that appropriate actions will be taken jointly to manage processes for achieving the agreed aims of their Partnership and the objectives overall of Knowledge Transfer Partnerships. Whilst detailed plans contained within the Partnership Proposal and Grant Application Form can, and probably will, be changed by mutual agreement of all the parties involved (including the assigned Adviser), the document should be provided to all participants, especially the Associate(s) at the beginning of their involvement, and used as a reference for setting targets and measuring progress.

Following approval by a TSB official of a proposal to establish a Knowledge Transfer Partnership, following consideration at a meeting of the Partnership Approvals Group, a Grant Offer Letter is issued on behalf of the Technology Strategy Board to the Knowledge Base Partner. The Offer Letter contains the terms and conditions under which the Grant Offer is made and these need to be accepted by the Knowledge Base Partner on behalf of both partner organisations. The Knowledge Transfer Partnership is deemed to be established when acceptance of the offer has been received by AEA.

A major commitment of the partners in a Knowledge Transfer Partnership is that a Local Management Committee will be established under the chairmanship of the chief executive or managing director (or other board member) of the Company Partner with the membership as defined in the Partnership Proposal and Grant Application Form. This Committee is responsible for ensuring the partnership is managed to the satisfaction of all parties. Decisions regarding the management of the Partnership, including the terms and conditions of the Associate must be made jointly.

Supervisors are invited to attend a Supervisors Workshop prior to recruitment of the Associate. The workshop aims to provide Supervisors with best practice on how to manage a successful KTP project and highlights some of the difficulties, which can potentially arise. Partnerships are encouraged to critically review the project plan and perform a risk analysis on the project. The workshop also provides an opportunity for Supervisors to network with other partnerships and hear from experienced Supervisors.

1 For simplicity the expression ‘company’ or ‘Company Partner’ is used to represent either a company, any other business, or a health or education organisation which is partnering with a Knowledge Base Partner in a Knowledge Transfer Partnership.
2. Participants and Their Roles

2.1 Partnership Facilitator
The Partnership Proposal and Grant Application Form identifies a senior person from the company (see footnote1) who is designated the Partnership Facilitator. At the Partnership Launch Meeting this appointment is usually confirmed, although occasionally for various reasons another senior person from the company may be designated to the role. The person may be the company’s representative on the Local Management Committee having the dual role of Partnership Facilitator with that of Chairman of the Local Management Committee or Company Supervisor, or may have the single role of Partnership Facilitator. The Partnership Facilitator, in liaison with the Knowledge Base Leader, is responsible for coordinating the Partnership participants to help ensure that the agreed aims for both the Company and Knowledge Base Partners and the Associate(s) are achieved in accordance with the plans set out in the Partnership Proposal and Application Form, or as amended through formal agreement of the Local Management Committee. The Partnership Facilitator should inform members of the Local Management Committee of progress against plans, propose, and obtain agreement from the Committee for, any required changes to the plans and maintain a continually up-dated planning document (preferably in the form of a Gantt Chart) which should be submitted to all meetings of the Local Management Committee. The Partnership Facilitator should ensure others involved in the Partnership are aware of their roles and responsibilities and inform members of the Local Management Committee of any major factors impinging on the operation of the Partnership at and between meetings of the Local Management Committee. Clear communication between the Partnership Facilitator and the assigned Adviser is important.

2.2 Knowledge Base Leader
At the beginning of a Partnership a senior person from the Knowledge Base Partner should be identified as the Knowledge Base Leader. This person may be one of the Knowledge Base Partner’s representatives on the Local Management Committee, having the dual role of Knowledge Base Leader with that of Knowledge Base Supervisor, or they may have the single role of Knowledge Base Leader. The Knowledge Base Leader shall ensure provision of necessary Knowledge Base Partner support to the Partnership Facilitator and to the Partnership to ensure that the aims and objectives of the Partnership are achieved.

2.3 Company Supervisor
The Company Supervisor will work in a team with the Knowledge Base Supervisor and the Associate. The Company Supervisor gives day-to-day support to the Project, guidance and mentoring support to the Associate and provides links to information and expertise available within the company. It is expected that this Supervisor will ensure that the company gives adequate consideration to any request for resources or training of company personnel required for the project to succeed and to become embedded.

2.4 Knowledge Base Supervisor
The Knowledge Base Supervisor, who has been identified because of having expertise specific to the Project needs, will work in a team with the Company Supervisor and the Associate. The Knowledge Base Supervisor guides the Associate’s technical, academic and professional development and, with the Company Supervisor, gives mentoring support with respect to vocational development. This Supervisor is expected to visit the company site frequently – typically an average of half a day per week – to support the Project, help guide the Associate, and provide links to information and expertise within the Knowledge Base Partner. It is appreciated that any one Supervisor may not be an expert in every aspect of a Project, but should establish contacts between the team members and other sources of expertise. Knowledge Base Supervisors should arrange access to facilities within the knowledge base organisations as appropriate.
2.5 Adviser

Nominated Advisers ensure that Knowledge Transfer Partnerships make progress towards specific partnership aims and the objectives for all Knowledge Transfer Partnerships. They advise on the implementation of training and development policy. They also give support to the Associates, especially with regard to achievement of the Diploma in Management and the managerial development of the Associate.

Advisers can be particularly useful in ensuring that the lines of communication between Associate(s), the Partnership Facilitator, the Knowledge Base Leader and the Supervisors are working properly. They advise on the rules and procedures relevant to Knowledge Transfer Partnerships and the conditions governing payment of the Government grant for a partnership, provide access to corporate experience and encourage best practice in knowledge transfer to optimise the benefits for all of the participants.
3. Partnership Launch Meeting

3.1 Timing and Membership
As soon as possible after a Partnership has been established the assigned Adviser will convene and chair a Partnership Launch Meeting. The purpose of the meeting is to ensure the adoption of good practice in Knowledge Transfer Partnership management. Normally it will be attended by all potential members of the Local Management Committee (except, of course, the Associate(s), who will not at this stage have been recruited). It is good practice for the meeting to be serviced by the person who will later act as secretary to the Local Management Committee. That person should take minutes of the Partnership Launch Meeting and ensure that they are confirmed by members, probably at the first meeting of the Local Management Committee. Amongst other things it is very important that agreement is reached and minuted at the Launch Meeting about expenditure commitments for Associate recruitment and employment costs.

3.2 Agenda Items
The following should be undertaken at a Partnership Launch Meeting:

- confirm membership (and chair) of Local Management Committee
- agree who is to perform the role of, and clarify arrangements for, secretary to the Committee
- agree definition of quorate of the Local Management Committee
- confirm identity of Partnership Facilitator and Knowledge Base Leader and clarify their roles
- confirm aims and measurable target outcomes for both Partners as set out in the Partnership Proposal and Grant Application Form
- establish patterns of Local Management Committee meetings with reference to typical agenda given in paragraph 6.2 of this handbook
- discuss financial control documents and review financial control arrangements, including procedures for payments by the Company to the Knowledge Base Partner of its contributions to the cost of the Knowledge Transfer Partnership
- agree and minute arrangements for Associate recruitment, including maximum financial commitments for recruitment and employment and details of Associate contract(s)
- agree and minute any confidentiality conditions to be imposed on the Associate(s)
- confirm, or agree if not done so already, Intellectual Property Rights and any confidentiality arrangements
- review Associate training and development policy and requirements
- plan Associate induction and appraisal
- define mini-project(s) for Associate assignment(s) in Months 3 of the Associateship
- determine project management arrangements
- agree date for all Supervisors to attend (jointly as Project teams) a Supervisors’ Workshop prior to the commencement of Projects for any Associates to be recruited in the early stages of the Partnership
- arrange for all Supervisors to receive copies of this Handbook and for them to be made aware of their responsibilities.

In addition, the Adviser will clarify his or her role regarding the Partnership and reinforce the requirement for all participants to exemplify good practice in, for example, managing projects, advising and supporting Associates and contributing to meetings. At the Partnership Launch Meeting details of the partnership plans (preferably in the form of the Gantt Chart included in the Partnership Proposal and Grant Application Form) should be re-confirmed, but members should be made aware that probably it will be necessary for adjustments to be made by mutual agreement (by the Local Management Committee) as the Partnership progresses. The KTP Adviser will also confirm at the Launch Meeting, which of the funding organisation(s) financially support the partnership and provide an overview of their main activities and objectives. Minutes of the Programme Launch Meeting should be emailed to the KTP Programme Office (lmcminutes@ktponline.org.uk).
4. Recruiting Associates

4.1 Identifying Candidates and Selecting Associates

As soon as the Knowledge Base Partner receives the Grant Offer Letter, the partners should set in train processes for identifying potential Associates and discuss selection criteria and processes. However, the selection process itself should not be undertaken until the Partnership Launch Meeting has taken place. Applicants can be attracted by whatever means the partners prefer, including advertising in the press, by personal recommendation or by posting a vacancy on the KTP Website. However, the procedure used must be in line with the policies of the Knowledge Base Partner regarding its recruitment of staff. In Northern Ireland Equal Opportunities Legislation requires all vacancies to be advertised. A database of individuals who have registered an interest in being a KTP Associate is maintained by the KTP Programme Office and Partners seeking recruits are invited to access the information online through the Supervisor’s Portal at http://portal.ktponline.org.uk/action/profile/search.aspx. Partners are also encouraged to place details of their vacancies on the website in order that potential Associates using the website can see it. The KB Administrator and both Supervisors linked to a specific Partnership have their permissions set to ‘post a vacancy’ and ‘register an Associate’ using the KTP Portal. Recruitment (including advertising) costs are met normally by the Company Partner but can be met from the indirect element of the grant paid to the Knowledge Base Partner or, by agreement, from the ‘Associate Employment Costs’ category of the Knowledge Transfer Partnership’s budget. The recruitment process must be agreed by both Partners. Details of the work specification, the qualifications of potential candidates and the methods of attraction and selection must be agreed between the Partners and minuted at the Programme Launch Meeting or, for second or later recruits, at an appropriate Local Management Committee meeting. Selection procedures must include an interview by representatives of both partner organisations.

The opportunity should be given to candidates to visit the main place of work and to meet those who will be directly involved with the Project. Details of the Project and general information about Knowledge Transfer Partnerships should be given to potential applicants. If feasible, opportunities should be made for candidates to meet current or recent Associates. It is important that offers to preferred candidates are made as quickly as possible with salary levels and conditions of employment (including where appropriate confidentiality conditions) set out clearly in an offer letter. As soon as possible after accepting an Associateship post, the Associate must register with the KTP Programme Office. This is a two stage process.

The KB Administrator or Supervisor will complete the first part of the Associate’s registration by logging on to the Supervisor User area of the Portal. The Associate will then receive an automated email that contains a link to the Portal asking them to complete the final part of the registration process. Once completed, this gives an opportunity for the new Associate to start studying the web-based module called “An Introduction to Knowledge Transfer Partnerships”.

4.2 Eligibility

A potential Associate should intend to pursue an industrial or business career and should normally:

- be recently qualified with a first or higher degree or a Scottish/National Vocational Qualification Level 4, or a Higher National Certificate or a Higher National Diploma or a Foundation Degree (or, in the case of a pilot arrangement only in the West Midlands region, be a ‘SET Returner’) in a subject appropriate to the Project to be carried out
- have not previously been employed or be currently employed by the Company Partner or an associated company
- have not previously been employed as a KTP, TCS or CBP Associate. Certain conditions apply.
Associates may or may not be graduates from the academic institution involved in the Partnership. An offer of employment may be made to an exceptionally good candidate who does not meet all the preferred conditions provided prior written agreement has been obtained from the KTP Programme Director of AEA.

Although recruits must normally satisfy the above criteria, it is important also that they:

- fit the company environment in which they will carry out most of the Project
- have an appropriate attitude to working harmoniously with all members of the Project team
- have an aptitude to develop further the personal skills necessary to achieve, at an early stage, a successful career in a commercial environment.

Partners should be aware that there are potential pitfalls surrounding the recruitment of non-EU citizens as KTP Associates. If there is any likelihood of consideration being given to recruiting a non-EU citizen, the partners should first contact the Immigration and Nationality Directorate of the Home Office in Sheffield (for information and advice see www.workpermits.gov.uk).

4.3 Associate Contractual Arrangements

Each KTP Associate is given a fixed term employment contract lasting between 1 and 3 years by the Knowledge Base Partner in a Knowledge Transfer Partnership but works predominantly at the premises of the Company Partner. Associate conditions of service regarding confidentiality, hours of attendance, holiday entitlement, salary level and salary review arrangements should be comparable with those which would apply if the company were the employer. Pension arrangements, sick pay, maternity pay and dismissal procedures are those of the Knowledge Base Partner. An Associate’s contract of employment should recognise these arrangements. The Knowledge Base Partner may not arbitrarily make decisions which make changes to an Associate’s terms and conditions of employment.

The grant provided by the Government includes an amount which contributes to the employment costs (including National Insurance contribution and payments to a superannuation scheme) of all Associates in a Knowledge Transfer Partnership. It may be augmented by an agreed contribution from the Company Partner. Members of the Local Management Committee, applying the criterion of paying salaries commensurate with what would be paid to an equivalent company employee, may agree that an Associate’s salary will exceed the amount available from the standard Knowledge Transfer Partnership budget. In such a case the excess ‘top up employment cost’ must be borne by the Company Partner but should be included in the financial reports submitted to each Local Management Committee meeting. It is recommended that any ‘top up’ is paid as an integral part of the salary with appropriate arrangements being made with the Knowledge Base Partner. Partners may wish to include ‘completion bonuses’ in Associate remuneration packages to encourage Associates to stay to the end of their contract periods and thus fully complete the project plans.

The selection of Associates must be undertaken jointly by both partners. As the employer, the Knowledge Base Partner will normally take the lead in arranging recruitment, but methods of recruiting, selection, salary and conditions of service should be agreed by both partners. It is recommended that all arrangements are clearly understood by both partners before an offer of employment is made to a candidate. The unusual allocation of employment responsibility demands flexibility, understanding and sensitivity from all staff involved from both partner organisations.

The Associate may not be diverted from the KTP project to undertake some additional research project on behalf of an academic or to undertake additional tasks within the company outside of the objectives of the KTP project. This clearly has the opportunity to jeopardize the objectives of the KTP project. Both Partners are responsible for ensuring that the Associate(s) will not be diverted from Knowledge Transfer Partnership-related activities, other than to spend approximately 10% of their time on appropriate formal training and personal and professional development activities, which includes the achievement of the Diploma in Management and the managerial development of the Associate and may not charge out any part of the Associates time to the company partner’s customers.
5. Supporting Associate Development

5.1 Associate Development Policy

It is the responsibility of the Local Management Committee to ensure that the Knowledge Transfer Partnership provides professional and personal development opportunities for Associates in accordance with the agreements in the Joint Commitment Statement (signed by a representative of both partner organisations as part of the Partnership Proposal and Grant Application Form). It is expected that all Associates will spend at least 10% of their time on training and professional development supplementing their KTP Project experience. Supervisors should ensure (by utilising the financial provision in the budget) that this occurs and that there is a sensible balance between this and project work.

Apart from the KTP Associate Development Course leading to a CMI Level 5 Diploma in Management and Leadership (see 5.3), which is mandatory and provided at no charge to the partnership budget, the training and professional development of an Associate is to be determined by the Local Management Committee taking advice from the Associate's Supervisors. Approval by Local Management Committees of financial support for Associates to attend courses (other than the KTP Associate Development Course) and other training activities should only be given if attendance is consistent with Personal Development Plans drawn up by the Associates themselves. Supervisors should encourage the development of such plans and offer advice when appropriate. It is expected that various sources of training will be used so that a development programme tailored to the needs of each Associate is provided.

Supervisors are expected, where appropriate, to encourage their Associates to register for higher degrees/qualifications and to progress towards professional recognition by registering with, or preparing for the examinations of, appropriate professional bodies. Associates should make their own approaches to their preferred institutions. They should be encouraged, where appropriate, to participate in Monitored Professional Development programmes (as defined by some professional institutions) which could involve Supervisors becoming their professional mentors.

Associates who complete at least three quarters of their planned Associateships will be offered KTP Associate Certificates, which will outline the National Management Standards that they have attained during their Associateships and provide evidence of satisfactory progress with their Projects.

5.2 KTP Associate Development Course

All Associates are required to participate in the KTP Associate Development Course. This aims to equip them with the understanding of Knowledge Transfer Partnerships, management and business needed to manage their Projects and subsequent careers effectively. In addition, the course provides guided learning towards the achievement of the CMI Level 5 Diploma in Management and Leadership and sets the mandatory assignments.

The course is free of charge and consists of:

- A web-based module – Module 1: “An Introduction to Knowledge Transfer Partnerships”
- Three five-day residential modules:
  - Module 2: Project Management
  - Module 3: Marketing and Effective Communication
  - Module 4: Wider Business Issues
- An online-based learning support system, ‘KTP Knowledge’, which provides Associates with learning material on topics within the Diploma Course.
- Access to the CMI's online management and leadership resource centre
Associates should complete the web-based module within one month of recruitment and prior to attending the first residential module. Normally this will be completed in a few short sessions which altogether will last about 7 hours. Associates should aim to attend Module 2 in Month 3, Module 3 in Month 6 and Module 4 in Month 9 of their Associateship. As an integral part of the course, Associates carry out mini-projects in Month 3 of their Associateship.

The mini-project:
- is defined by the Associate in discussion with Supervisors
- normally takes around three days’ work
- is designed to bring the Associate into contact with as many aspects/departments of the Company Partner as possible
- provides useful information for the Company Partner.
- provides scope for the analysis of data and the preparation and presentation of a report to senior company management (preferably at a meeting of the Local Management Committee).

In the first module Associates are guided in the production of Personal Development Plans which should identify their total training and development needs and how they will be satisfied. The plans should be regularly updated and referred to at Local Management Committee meetings when decisions are being made about participation of Associates on training courses and events.

All Supervisors are strongly encouraged to attend the day of the third module which is designated ‘Supervisors Day’ when Associates make formal presentations of their mini-projects and Supervisors participate as part of a critical but supportive audience.

5.3 Diploma in Management
Associates develop considerable management skills and understanding through managing their KTP Projects, attending the Associate Development Course and implementing their Personal Development Plans. In particular they must be given opportunities to achieve a CMI Level 5 Diploma in Management and Leadership. Registration for the Diploma is provided free of charge to the Partnership budget for a period of up to 3 years from registration. Attendance of the Associate Development Course leading to a CMI Level 5 Diploma in Management and Leadership and assessment of any related course work is free of charge to the Partnership budget during the lifetime of a KTP Project. All Associates, including those working on 12 month projects, are expected to complete the Diploma covering the following contents:

5001 Personal development as a manager and leader
This unit is about improving individual management and leadership skills and competencies against objectives.

5002 Information based decision making
This unit is about communication and use of information to support decision making.

5004 Resource management
This unit is about identifying, planning, using and evaluating resources to meet objectives.

5005 Meeting stakeholder and quality needs
This unit is about meeting stakeholder requirements to agreed quality standards and seeking improvements.

5006 Conducting a management project
This unit is about identifying, researching and producing a work-related project and evaluation its impact.
5007 Financial Control
This unit is about financial systems and controls and the impact of external factors on organisational financial management.

5008 Marketing Planning
This unit is about understanding the role of marketing, the organisation’s current market position and planning for widening markets.

5009 Project development and control
This unit is about understanding projects, developing project plans and management strategies, and ensuring projects achieve objectives with targets.

5012 Being a leader
This unit is about leadership skills and the understanding of ethical and cultural issues within the organisation.

KTP1 Design
Associates will learn about the principles of using design in a business context.

KTP2 International Business
Associates will learn about the principles of and good practice in engaging in international business.

KTP3 Intellectual Property Rights
Associates will learn the principles of Intellectual Property Rights and how to apply them in a business context.

5.4 Higher Degrees/Qualifications
Associates should be encouraged to register for higher degrees/qualifications, if appropriate, with the higher education institution involved with their Knowledge Transfer Partnership or with a Higher Education Institution related to the Further Education College involved in the Knowledge Transfer Partnership.

It is recognised that a large proportion of learning acquired by an Associate undertaking a KTP Project is at least at master’s degree level. It is possible to adopt the principles of work-based learning to assign academic credit points to the learning accumulated by an Associate during a Project. If the Project duration is two years or more the project activities can be used to determine a programme of learning which leads to a postgraduate award (normally an MSc).

Some Associates may find it more appropriate to register for higher degrees by thesis. Companies normally allow the material produced during a Project to be used for higher degrees (although, for reasons of confidentiality, they may impose limitations on its circulation) provided that the writing of a thesis is done in the Associate’s own time. Changes in the directions of a Project may hinder the attainment of a higher degree by this route.

All Supervisors are expected to advise and assist Associates wishing to achieve higher degrees.

Contributions up to £700 (£1,700 if the Knowledge Base Partner is not a higher education institution) per Associate towards degree registration and examination fees may be paid, at the discretion of Local Management Committees, out of the existing ‘training’ budget of Knowledge Transfer Partnerships.
5.5 Associate Induction

Before an Associate embarks on a KTP Project, Knowledge Base and Company Supervisors should devise formal induction programmes introducing the Associate to personnel and resources in both partner organisations and familiarising the Associate with the Partnership objectives and work plans.

At the Knowledge Base Partner the Associate should join the library, obtain access to computing or laboratory facilities as appropriate, be introduced to academic, research and support staff able to give assistance to the Project and be informed about administrative arrangements, such as the payment of salary and expenses. Tutorials or short courses may be available to support the Associate. The Associate should also be made aware of any relevant policies and regulations governing health and safety at the Knowledge Base organisation.

At the Company the Associate should be introduced to all staff in the Knowledge Transfer Partnership and be made aware of policies and regulations governing health and safety. It is important that many company staff, and not just those closely involved, are made fully aware of the aims and objectives of the Partnership, the commitment of senior management to it, and the role of the Associate and their Supervisors as well as their own.

It is important that an Associate meets both Supervisors together within a day or two of commencing an Associateship. The induction period will include completing the first (web-based) module and attending the first residential module of the KTP Associate Development Course, preferably in the third months of the Associateship. Amongst other things, the module aims to develop project management skills and it is expected that a detailed Project Plan (developed from the plan included in the Partnership Grant Application and Proposal Form) will be submitted by the Associate to the Local Management Committee meeting following attendance at the module. The careful selection of a mini-project to be carried out in Month 3 of the Associateship is important.

As soon as possible after recruitment the Associate should be provided with a copy of the Knowledge Transfer Partnerships – Grant Application and Proposal Form. The Associate Handbook is made available to the Associate after registration.

5.6 Health and Safety

As the employer of Associates, Knowledge Base Partners are responsible for ensuring that Associates are aware of, and abide by, the policies and regulations governing health and safety in the workplace. Thus each Knowledge Base Supervisor should not only become familiar with the policies and regulations of the Company Partner for their own benefit, but, to cover the legal requirements of their employer, should ensure that their Associate(s) are furnished with such information. In addition, policies and regulations governing work carried out on the Knowledge Base organisation’s premises should be carefully explained to Associates at the beginning of their induction to the Knowledge Base organisation.
5.7 Associate Appraisal

Associates must be given at least 2 formal appraisals by their Company and Knowledge Base Supervisors within their Associateships. The first should be within three to six months of recruitment (and preferably before the end of a probation period), depending on the planned length of the Associateship, and the others preferably at intervals of not more than 12 months.

The method of appraisal should be agreed between the Supervisors and should include:
- receiving and discussing the views of the Associate
- identifying strengths as well as weaknesses of the Associate
- feedback on performance in relation to the objectives set at the outset of the project
- advice on how to overcome personal and professional weaknesses
- advice on the Associate’s Personal Development Plan
- agreement on that part of the Personal Development Plan concerning training or experience to be provided during the Associateship.

Appraisals are personal to Associates and confidential reports must be given to them after an appraisal has taken place. The Company and the Knowledge Base Partners should retain copies. No further distribution of the report is desirable. The appraisal carried out towards project completion is a good time to discuss the career intentions of the Associate and the prospects of future employment within the Company Partner.

It is good practice at an appraisal to provide an opportunity for the Associate to provide critical feedback to the Supervisors on the effectiveness of their support.
6. Managing a Partnership

6.1 Partnership Control

A Knowledge Transfer Partnership is co-ordinated by the Partnership Facilitator with the support of the Knowledge Base Leader subject to the agreement and approval of the Local Management Committee. Amongst other things, the Local Management Committee is responsible for monitoring, reviewing and, if necessary, revising the Partnership’s aims and objectives.

A Partnership Plan identifies Project milestones (the major decision points and target deliverables for the Associate(s), the Company Partner and the Knowledge Base Partner) and when they are scheduled to occur, is included in the Partnership Proposal and Grant Application Form. This should be kept under review by the Partnership Facilitator taking account of any changes within the partner organisations and external commercial or other factors. The timings in the Plan should be realistic and reflect the intention of achieving ambitious outputs. In addition to the recruitment, induction, training and appraisal of Associates, the individual Diploma assignments and the achievement of their main Project milestones, the Plan should include activities within the company (such as commissioning equipment and training staff) and within the Knowledge Base Partner (such as writing case study material, writing papers and carrying out laboratory tests) directed at the timely achievement of targets and the taking of decisions. The Partnership Plan and any revisions to it must be approved by the Local Management Committee before implementation. In addition to maintaining an up-to-date Partnership Plan, the Partnership Facilitator should keep records of major activities completed, important decisions made and, most importantly, achievements for all parties, including those embraced within the agreed objectives and those that occur as by-products of the Project activities. A compilation of all achievements should be set out in the Partnership Final Report to be submitted at the conclusion of the Partnership. To ensure the compilation is accurate and complete, it is expected that achievements will be recorded as the project(s) proceed and discussed at each Local Management Committee meeting (under agenda item ‘Preparing Final Report’). A possible format for compilation is shown below:

<table>
<thead>
<tr>
<th>Description</th>
<th>Target Date</th>
<th>Revised Date</th>
<th>Achieved Date</th>
<th>Notes</th>
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<td>Deliverables to Company</td>
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<td>Deliverables to Associate(s)</td>
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<td>Deliverables to Knowledge Base Partner</td>
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6.2 Local Management Committee

The Local Management Committee is responsible for top level decisions regarding a Knowledge Transfer Partnership and for the achievement of significant, positive outputs for the Associate(s) and the partner organisations. In addition to reviewing, and possibly agreeing revisions to, the Partnership Gantt Chart, the Committee is responsible for reviewing and agreeing plans for Associate recruitment, Project implementation and Associate Development. It is also responsible for controlling, within the terms and conditions attached to the offer of grant to the Knowledge Base Partner, the expenditure of the Partnership budget and the commitment of resources allocated to the Knowledge Transfer Partnership and reporting to the Government (through the Partnership Final Report) all achievements and costs.
Normally meetings are held at the premises of the Company Partner at approximately four monthly intervals. A typical agenda is shown below:

1. Apologies for absence
2. Minutes from previous meeting
3. Matters arising from the minutes
4. Chairman’s Report
   - confirmation of Knowledge Transfer Partnership Objectives
   - company developments affecting the Project(s)
5. Associate(s) Presentation
   - report on Project progress
   - proposed Project Plan for next 4 months
   - report on training/personal development that has been completed
   - proposals for further training/personal development
6. Knowledge Base Leader’s Report
   - developments in the Knowledge Base Partner organisation affecting progress towards Partnership objectives
   - progress towards the Knowledge Base Partner’s objectives
7. Partnership Facilitator’s Report
   - report on progress towards Partnership Objectives
   - proposals for amendments to Partnership Plan
   - nature and extent of Project support
8. Preparation for the Final Report
   - compilation of achievements to date
   - draft Report (at penultimate and final meetings)
9. Financial Statement and commitment of resources
10. KTP Adviser’s Report
11. Any other business (including consideration of other ‘business support’ that may be appropriate to assist the Company Partner’s further development)
12. Date and venue of next meeting
13. Reserved business

Item 13 will always include discussion of the Associate(s)’ performance and the Associate(s)’ development. Occasionally it may include approval of any changes to Associate salaries or terms of employment and prospects for Associate employment by the Company Partner at the end of the Associateship. This item should be discussed when the Associate(s) is not present, but feedback should be given to each Associate within one working day of the meeting.

At certain meetings, other agenda items, such as further Associate recruitment, will be included. Confidential matters regarding either partner organisation which may influence Local Management Committee decisions may need to be included in Reserved Business and taken earlier in the agenda.

The Knowledge Base Leader will be responsible for providing secretarial support and submitting financial statements which shall be used as management accounting documents enabling the Committee to monitor expenditure and plan for the future. Standard forms are available from the KB Finance User area of the Portal. The secretary should ensure that agendas and all papers (including reports from Associates, the Partnership Facilitator and the Knowledge Base Leader) are sent to members about one week prior to the meeting dates.
The Knowledge Base Leader is responsible for sending copies of the minutes of Local Management Committee meetings to the KTP Programme Office (preferably within 2 weeks of each meeting). Amongst other things, the minutes should carefully record all agreements regarding expenditure against budget. Failure to provide copies of the minutes will result in a delay in the payment of any subsequent claim.

Members of the Local Management Committee are also expected to provide constructive feedback to Associates on their written and oral communication and project management skills development.

6.3 Chairing a Local Management Committee

The Chairman of the Local Management Committee is identified in the Partnership Grant Application and Proposal Form. To ensure that the work carried out within the Partnership remains within the strategic plans of the Company Partner and retains the appropriately high level commitment from the company, the Chairman should be a senior executive of the company, normally the chief executive at the company site where most of the programme of work will be undertaken. The Chairman should ensure that Project aims remain within the strategic aims of the company and that sufficient resources are made available to ensure the Project progress is at a rate consistent with meeting the targets set within the Partnership completion date. The Chairman has the important responsibility of ensuring that Local Management Committee meetings steer progress towards top level objectives, commit resources appropriately and carry out business efficiently and effectively; the intention being to demonstrate to the Associate(s) ‘best practice’ in managing such meetings as well as to achieve significant results.

6.4 Partnership Closure

On completion of a Knowledge Transfer Partnership, the Knowledge Base Leader must complete a KTP Final Report form. The report forms are issued from the KTP Programme Office approximately five months before the anticipated end of the Partnership and must be returned no later than one month after the last date on which the last Associate was deemed to be engaged for work in the Knowledge Transfer Partnership. The final grant payment will not be made until a satisfactory Final Report and all Associate Final Report(s) are received.

The KTP Final Report, which are stand-alone documents to be read without reference to the original Partnership Proposal and Grant Application Form, should reflect the agreed views of both partners, describe the achievements of the Partnership and be signed on behalf of both partners. Its submission should be accompanied by copies of the Associate Final Report(s).

All of these reports should clearly quantify the benefits that have been achieved. Additionally, confidential reports from either or each of the partners explaining their individual views on aspects of the Partnership may also be submitted if they have not fully agreed with the contents of the joint report.

The KTP Final Report (and any additional individual reports) is used to obtain an external assessment of the cost-effectiveness of the Knowledge Transfer Partnership and its achievements. The criteria used for this assessment are the extent to which the Partnership has contributed to the commercial success of the Company Partner, to the improved business relevance of the Knowledge Base Partner and to the development of the Associate(s).

6.5 Partnership Development

Following the completion of the Knowledge Transfer Partnership it is hoped that the partnership between the Knowledge Base Partner and the company will continue to develop and deepen. Also it is hoped that the participants will want to maintain contact with the KTP Programme Office so they can build on their experience, inform others and retain involvement in relevant regional and national activities.
7. Managing a Project

7.1 Project Team
Each Partnership involves one or more Projects, to each of which is recruited an Associate who plays a leading role in its execution, under supervision and guidance from Knowledge Base and Company Supervisors. The Associate, the Supervisors and possibly others comprise a project team for which the Associate shall, after an initial induction period, act as team leader.

7.2 Project Control
The Associate should convene and lead meetings of the project team at least monthly. It may be appropriate for joint meetings to be convened of teams carrying out Projects within the same Partnership, especially if the Projects are interdependent. A Project Gantt Chart, maintained and up-dated by the Associate, is the main control document for a Project. At the meetings, progress against plans will be discussed, targets will be agreed (and possibly revised) for the weeks ahead, the resources necessary to carry out the Projects will be identified and agreements made on how and by whom they will be requisitioned. It may be appropriate to invite the Partnership Facilitator or the Knowledge Base Leader to team meetings to inform them of progress with the Project and inform the Project Team of developments in either partner organisation which may impinge on the Project progress. It is expected that the Associate acts as secretary to the meetings by circulating agendas (previously agreed with the Supervisors) and making clear and succinct notes of decisions and agreed actions. These should be circulated to members of the team as quickly as possible and be used as a starting point for subsequent meetings of the team. Notes of these meetings will form the basis of Associate reports to the Local Management Committee.

The assigned KTP Adviser will convene a meeting of a Project Team as soon as possible after it has been established (normally on the occasion of the first meeting of the Local Management Committee at which the Associate member of the team is present). The purpose of the meeting is to help the team establish ‘good practice’ for its future team meetings. Whenever recruitment of a new Associate is initiated, and therefore a new Project Team is being established, the Knowledge Base and Company Supervisors within the teams must (as agreed and committed to in the Partnership Proposal and Grant Application Form) attend a nationally organised Supervisor Workshop, preferably before the Project Team begins to operate.

It is expected that Associates will have access to their Company Supervisors on a daily basis and will meet both Supervisors on a weekly basis. At the weekly meetings with the two Supervisors it is expected that personal and professional development needs of the Associate will be addressed as well as technical and organisational matters directly related to the Project. It is expected that Supervisors, as well as Associates, will prepare themselves for these meetings by identifying, in advance, items to be raised and decisions to be taken.
8. Financial Arrangements

8.1 Funding Arrangements

Government funding for Knowledge Transfer Partnerships is provided by the Technology Strategy Board, two Central Government Departments, the Devolved Administrations in Scotland, Wales, Invest Northern Ireland, Regional Development Agencies, six of the Government Research Councils, notably EPSRC, but all Partnerships, Offers of Grant and payments of grant are approved and authorised by TSB officials. Offers of Grant to Knowledge Base Partners are normally contained in a letter to the nominated administrator issued on behalf of the Technology Strategy Board. In most cases the letters are signed by the KTP Programme Director. They include the conditions attached to the payment of grants and the TSB may exercise discretion to withhold payments or seek recovery of grants already paid if it is considered that a Partnership is not progressing satisfactorily.

Each Knowledge Transfer Partnership has a budget, made up of the grant and a contribution from the Company Partner, that is appropriate to the number of Associate places and their project lengths. Before a Partnership is approved both partners sign a Joint Commitment Statement (part of the Partnership Proposal and Grant Application Form), which sets out some of their commitments. An element of the grant reimburses the Knowledge Base Partner for some of the indirect costs incurred in supporting the Partnership.

8.2 Grant Conditions

The Grant Offer Letter includes details of the approved funding and the conditions attached to the offer and payments of grant. It is in the interests of the Partnership that details in the Offer Letter are carefully checked before the offer of grant is accepted. Acceptance must be signified within one month of the date of the offer letter. This is done by means of a signed copy of the Offer Letter being returned to the KTP Programme Office.

Claims for grant cannot be made until the terms and conditions set out in the Offer Letter have been accepted. Furthermore, the TSB is under no obligation to make any payments of grant after a date stated in the Offer Letter. Therefore, unless an amendment changing this date has been issued in writing on behalf of the TSB to the Knowledge Base Partner, it is in the interest of the Partnership to ensure that the final claim for grant payment is submitted well before this ‘no obligation to pay’ date.

Any equipment purchased using any part of the grant funding automatically belongs to the Knowledge Base Partner and arrangements for its return may need to be made at the end of the Partnership.

8.3 Financial Control

The Knowledge Base Leader is required to produce a financial statement at each meeting of the Local Management Committee. A proforma for this can be obtained from the KB Finance User area of the Portal. All expenditure must be approved by the Local Management Committee and recorded in the minutes of meetings of the Committee together with the written agreement of the KTP Adviser.

The Local Management Committee is empowered to re-allocate funds between budget headings (as given in Schedule 1 of the Offer Letter) subject to the following restrictions:

- The Knowledge Base Partner may, subject to the agreement of the Local Management Committee (LMC) for the Partnership and recorded in the LMC minutes, together with the written agreement of the KTP Adviser, vire between the Travel and Subsistence and Equipment categories, also funds may be vired from either of these categories into the Associate Development category, but may not be vired from it, within the amounts indicated in Schedule 1 for each category by transfer from other categories, and subject to the needs of the particular project, except that, funds may not be vired into or out of the ‘Associate(s) Employment Costs’ category or into the ‘Academic and Secretarial
Support’ category. Also, funds identified in Schedule 1 as being provided for indirect costs must be used solely for that purpose and funds so identified as being for direct costs must be used solely for that purpose’.

It is essential that all agreements to vire funds should be recorded in the minutes of Local Management Committee meetings and notified to the person responsible for making grant claims.

A unique number is allocated to each Partnership and identified on the Grant Offer Letter. The number must be quoted on all claims for grant and on the minutes of Local Management Committee meetings. All claims must be made in the format identified in Schedule 2 of the Offer Letter. Claims should be submitted to the KTP Programme Office at 3-monthly intervals after the start date of the (first) Associate.

At the end of a Partnership the final claim for a payment must be accompanied by a certificate (Schedule 3 of the Offer Letter) signed by the Finance Officer of the Knowledge Base Partner.

To ensure that claims can be processed for payment as soon as possible after receipt by the KTP Programme Office, it is important that:

• each claim is original (not photocopied), complete, properly signed and dated
• claims are submitted in sequence and in arrears of periods covered
• all minutes of Local Management Committee meetings held to date have been received by the KTP Programme Office
• all virements are clearly recorded in minutes of the Local Management Committee.

Although it is not necessary to submit invoices covering expenditure defrayed, if a Knowledge Base Partner does wish to send an invoice it must be clearly identified as being associated with an accompanying claim.

To ensure the efficient processing of claims for final grant payment it is important that:

• a satisfactory Final Report has been received by the KTP Programme Office
• a final certificate of expenditure (see Schedule 3 of the Offer Letter) showing all defrayals (no matter whether from grant support or the Company Partner’s contribution) by the Partnership accompanies the final claim.

8.4 Premature Termination
If the company decides unilaterally to end the Partnership it will continue to be liable for its share of all outstanding financial and other resource commitments, including associated recurrent expenditure and any other commitments previously entered into by either party and agreed by the Local Management Committee but not yet paid. The Knowledge Base Partner should make every effort to redeploy the Associate(s) and other staff supported by the grant, thereby minimising, but not negating, the company’s obligation.

8.5 Grant Revisions
The approval of any additional funding or time extension to complete the Project(s) is exceptional. If a significant change is needed to the Knowledge Transfer Partnership as originally approved, a completely new Partnership Proposal and Grant Application Form for funding must be submitted. Such a new proposal should normally show a contribution by the Company Partner higher than that made to the budget for the original Partnership.
If a Local Management Committee wishes to seek additional funding or time extension for the original Partnership the following should be noted.

- Normally, additional funding will only be considered in cases where an Associate has resigned within the early months of an Associateship.
- No application will be considered within three months of the end of a Partnership.
- Additional Government funding will not be provided to enable Associates to complete their Projects after the end of their contracts. It is expected that any funding for this will be provided totally by Company Partners.
- Any additional grant funding awarded should be complemented by additional funding from the Company Partner in a proportion at least as large as the proportion of company funding provided to the original budget.
- If an Associate leaves towards the end of his Associateship, the partners may apply to ‘finish off’ the Partnership, whereby another person can be employed to do the work but he/she is not classed as an Associate.

Any request for amendments to an Offer Letter should be submitted to the KTP Programme Office in writing by the Knowledge Base Partner and be endorsed by the Adviser nominated to the Partnership and by the Local Management Committee.
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