



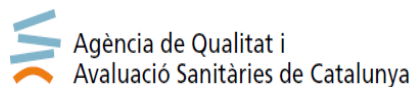
Doha, Qatar
**The International School
on Research Impact Assessment**

"Learning to assess research with
the aim to optimise returns"

ALLOCATION – THE CASE OF RESEARCH IMPACT ASSESSMENT IN REF2014

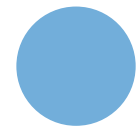
**PROF JONATHAN GRANT
THE POLICY INSTITUTE, KING'S COLLEGE
LONDON**

NOVEMBER 9- 2015



THE UK DUAL SUPPORT SYSTEM

- University research supported through the Research Councils (RCs, c£4b pa) and Funding Councils (FCs, c£2b pa)
- There are separate FCs for each England, Scotland, Wales and Northern Ireland
- Research Councils:
 - Provide grants for prospective peer review of projects (ie anticipated outcome)
- Funding Councils:
 - Provide block grant to support research infrastructure and seed funding
 - Quality Related (“QR”) funding distributed on retrospective review of research performance



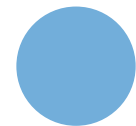
A BRIEF HISTORY OF RESEARCH ASSESSMENT

- 1986 & 1989: The ‘Research Selectivity Exercises’
 - First UK wide assessment of research quality
 - Assessed departments not universities
 - Emphasis on research outputs (papers) and income
 - In 1989 partly used in funding allocations
- 1992, 1996, 2001 & 2008: The ‘Research Assessment Exercises’ (RAE)
 - Peer review of ‘departments’ by c70 subject based panels
 - Assess quality of outputs, environment and esteem
 - Open publication of submissions and results
 - Evolved, being more sophisticated and influence
 - Allocation of QR funding



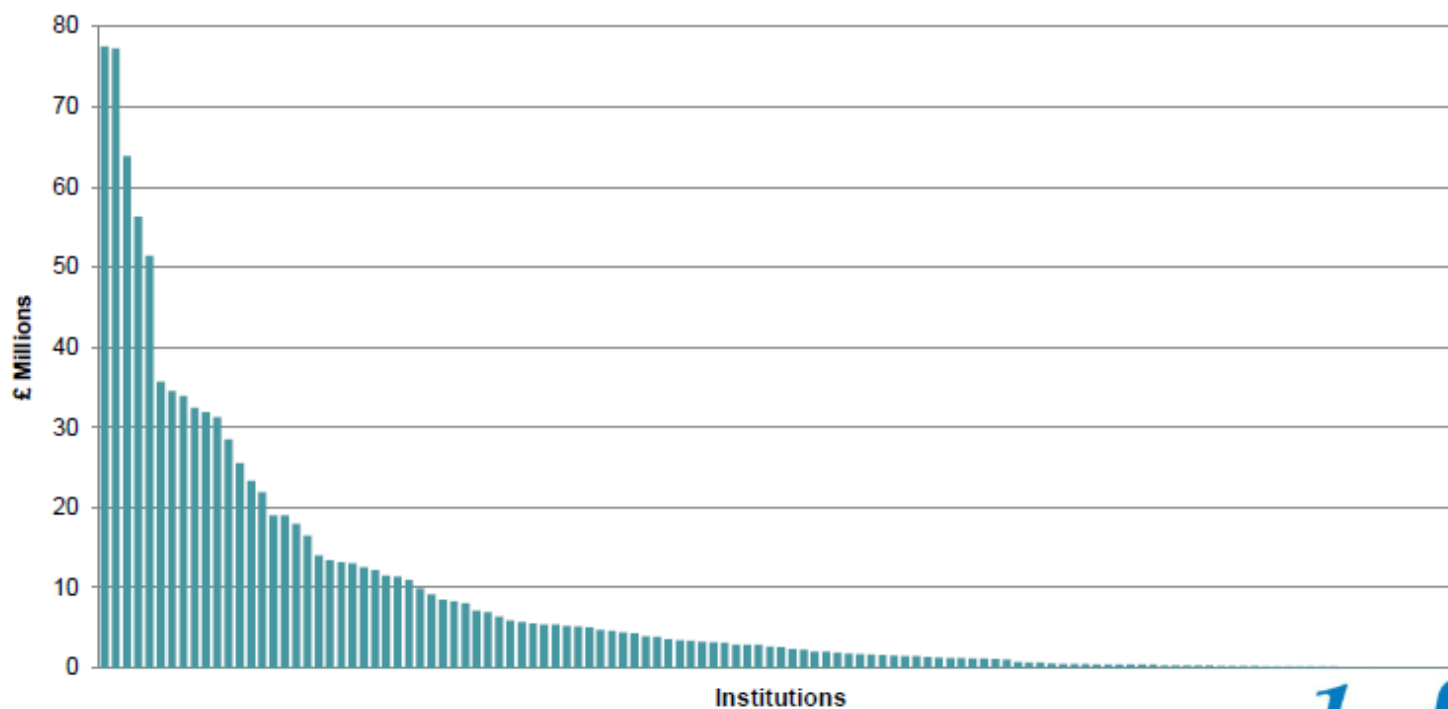
DEPARTMENTS (OR UNITS OF ASSESSMENT) GRADED ON A 4-POINT SCALE

| | |
|---------------------|--|
| 4* | Quality that is world-leading in terms of originality, significance and rigour. |
| 3* | Quality that is internationally excellent in terms of originality, significance and rigour but which falls short of the highest standards of excellence. |
| 2* | Quality that is recognised internationally in terms of originality, significance and rigour. |
| 1* | Quality that is recognised nationally in terms of originality, significance and rigour. |
| Unclassified | Quality that falls below the standard of nationally recognised work. Or work which does not meet the published definition of research for the purposes of this assessment. |

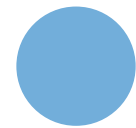


GRADES DRIVE SELECTIVITY OF QR FUNDING

Mainstream research funding by institution
(2014-15; England only)



hefce



REF 2014 AND THE INTRODUCTION OF RESEARCH ASSESSMENT

- Increasing policy emphasis on the role of universities in the knowledge economy
- Impact introduced to:
 - Demonstrate benefits of UK research
 - Incentivise universities to exchange with potential beneficiaries of research
 - Expand the definition of “Research Excellence”



BUT INTEREST IN THE IMPACT OF RESEARCH IS NOT NEW

Francis Bacon, Novum Organum, 1620

*There is another powerful and great cause of the little advancement of the sciences, which is this: it is impossible to advance properly in the course when the goal is not properly fixed. **But the real and legitimate goal of the sciences is the endowment of human life with new inventions and riches.***



Vannevar Bush Science the Endless Frontier

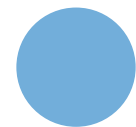
*“As long as [universities] are vigorous and healthy and their scientists are free to pursue the truth wherever it may lead, **there will be a flow of new scientific knowledge to those who can apply it to practical problems in Government, in industry, or elsewhere.**”*



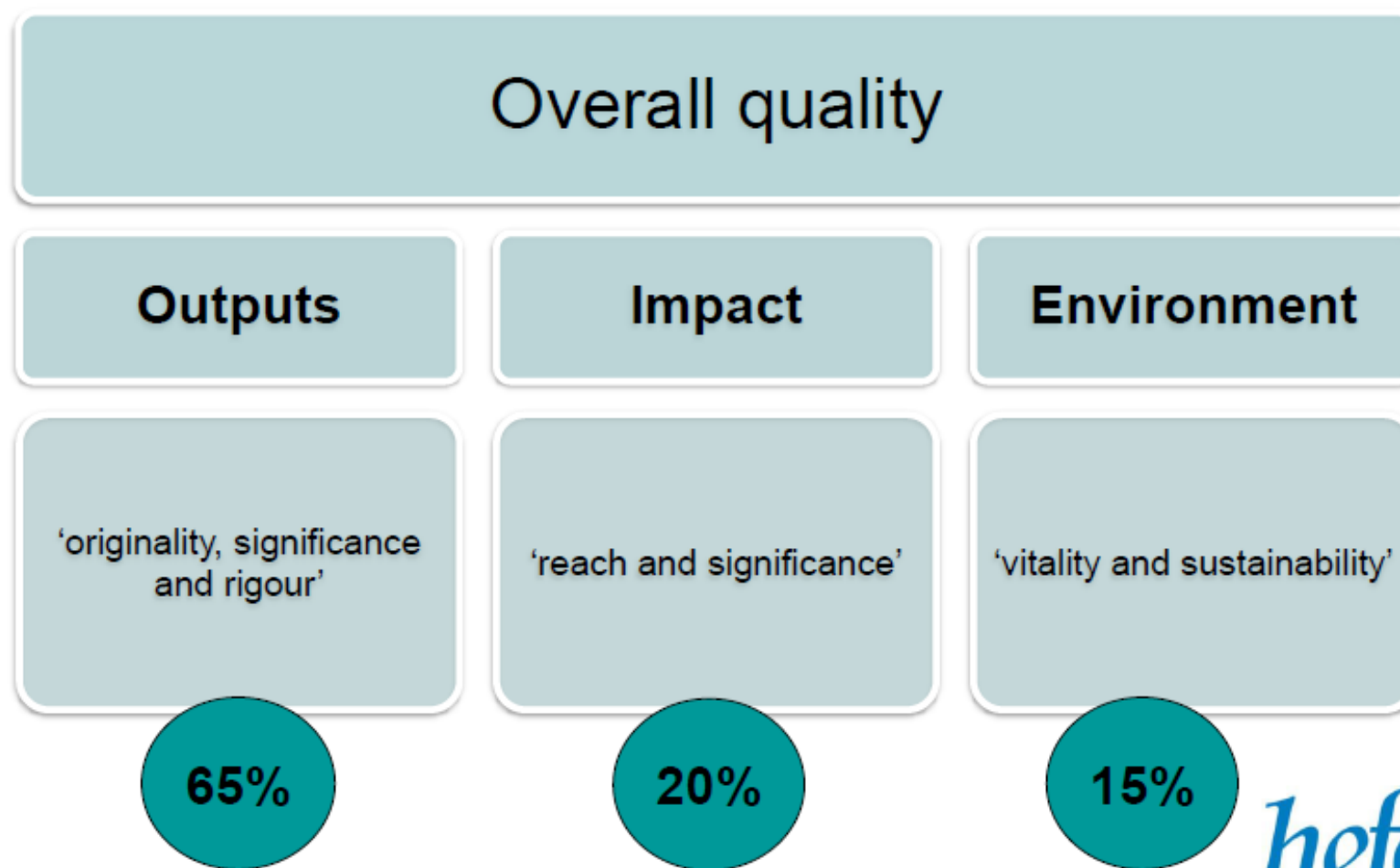
Realising our potential White Paper, 1993

The understanding and application of science are fundamental to the fortunes of modern nations.

Science, technology and engineering are intimately linked with progress across the whole range of human endeavour: educational, intellectual, medical, environmental, social, economic and cultural.



THE REF 2014 ASSESSMENT FRAMEWORK



IMPACT CASE STUDIES WRITTEN UP IN 4-PAGE TEMPLATE

Title of case study:

1. Summary of the impact (indicative maximum 100 words)

2. Underpinning research (indicative maximum 500 words)

3. References to the research (indicative maximum of six references)

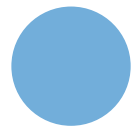
4. Details of the impact (indicative maximum 750 words)

5. Sources to corroborate the impact (indicative maximum of 10 references)



IMPACT ASSESSED BY 36 SUBJECT BASED PEER REVIEW PANELS

- Impact is defined as *‘any effect on, change or benefit to the economy, society, culture, public policy or services, health, the environment or quality of life, beyond academia’*
- Each submission is rated on a 4 star scale, using two criteria:
 - Reach - ‘the spread or breadth of influence or effect on the relevant constituencies’
 - Significance – ‘the intensity of the influence or effect’



FOR THE FIRST TIME REF DEMONSTRATED THE IMPACT OF UK RESEARCH

- Over 250 research users judged the impacts, jointly with academic panel members.
- 44% of impacts were judged outstanding (4*). A further 40% were judged very considerable (3*).



The nature, scale and beneficiaries of research impact

An initial analysis of Research Excellence
Framework (REF) 2014 impact case studies

King's College London and Digital Science

Prepared for the Higher Education Funding Council of England, Higher
Education Funding Council for Wales, Scottish Funding Council,
Department of Employment and Learning Northern Ireland, Research
Councils UK and the Wellcome Trust



March 2015



Preparing impact submissions for REF 2014: An evaluation

Findings and observations

Catriona Manville, Molly Morgan Jones, Michael Frearson,
Sophie Castle-Clarke, Marie-Louise Henham, Salil Gunashekar
and Jonathan Grant

Search REF Impact Case Studies

Browse the index below or search all Case Studies using keywords [e.g. "NHS"].

Learn about advanced search options [here](#).

<http://impact.ref.ac.uk/CaseStudies/>

Browse the index

Submitting Institution

Unit of Assessment

Summary Impact Type

Research Subject Area

Impact UK Location

Impact Global Location

Submitting Institution ?

East

(457)

- [Anglia Ruskin University](#) (32)
- [University of Bedfordshire](#) (26)
- [University of Cambridge](#) (227)
- [Cranfield University](#) (24)
- [University of East Anglia](#) (64)
- [University of Essex](#) (48)
- [University of Hertfordshire](#) (30)
- [Norwich University of the Arts](#) (2)
- [Writtle College](#) (4)

East Midlands

(459)

- [Bishop Grosseteste University](#) (6)
- [De Montfort University](#) (24)
- [University of Derby](#) (21)
- [University of Leicester](#) (86)
- [University of Lincoln](#) (35)
- [Loughborough University](#) (79)
- [University of Northampton](#) (18)
- [University of Nottingham](#) (152)
- [Nottingham Trent University](#) (38)

London

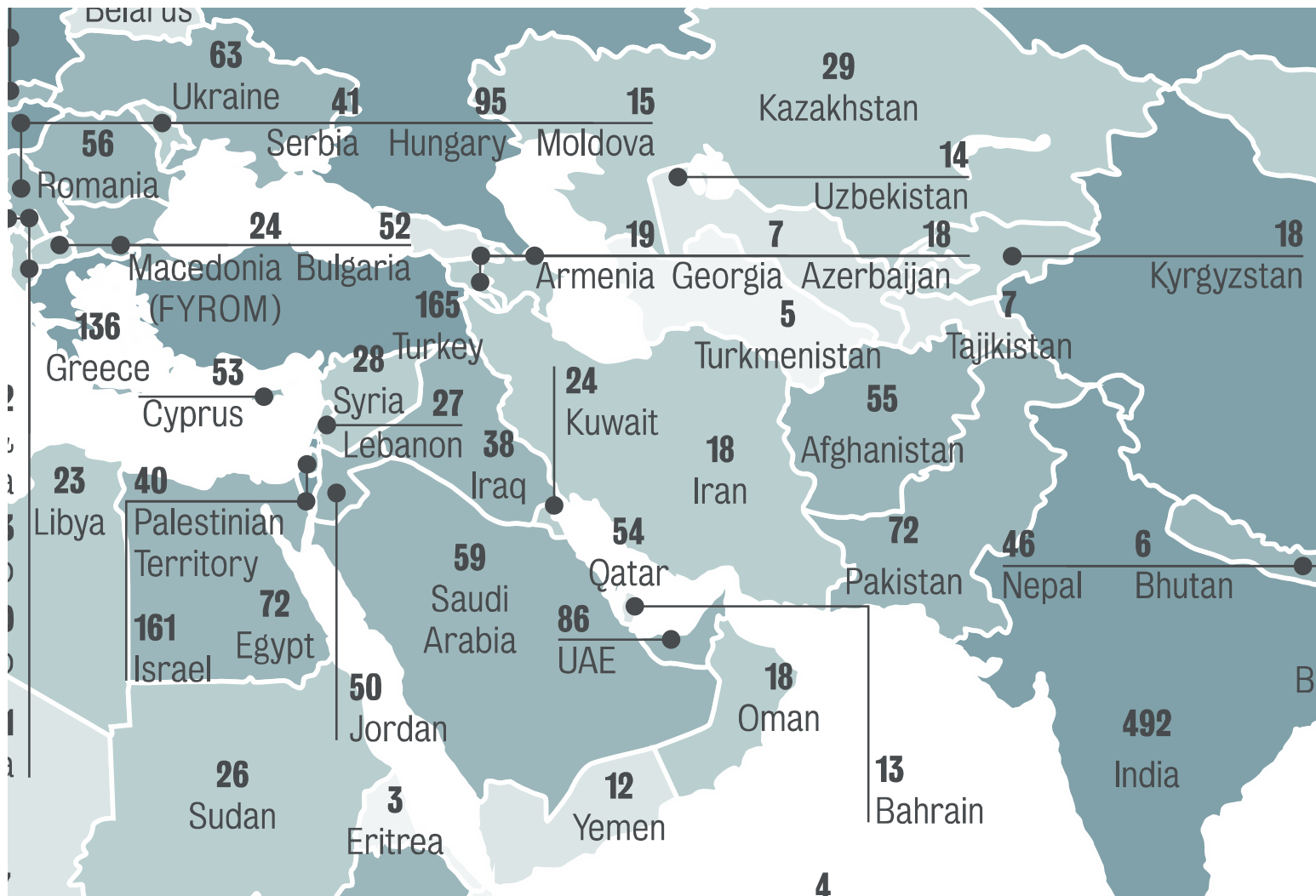
(1353)

- [Birkbeck College](#) (67)
- [Brunel University](#) (76)
- [City University London](#) (49)

- [Kingston University](#) (22)
- [University of the Arts London](#) (12)
- [London Business School](#) (11)

- [Royal College of Art](#) (7)
- [Royal College of Music](#) (2)
- [Royal Holloway, University of London](#) (51)

UK HIGHER EDUCATION INSTITUTES HAVE A GLOBAL IMPACT



WHAT DID WE LEARN FROM BOTH EVALUATIONS?

1. You can assess research impact on a national scale
2. Assessing research impact drive behaviours
3. Research impact is multidisciplinary, multi-impactful, and multinational
4. Differentiating impact is difficult (84% of case studies 3*/4*)
5. It is expensive but worthwhile (absolute costs high, proportionate costs low)



Preparing impact submissions for REF 2014:
An evaluation
Findings and observations

Christine Amabile, Emily Morgan Jones, Michael Parsons,
Sophie Dando Clarke, Marie Louise Hitchen, Jill Clendenen
and Jennifer Dean



LOOKING TO THE FUTURE

1. Impact assessment is here to stay
2. System will be similar in 2020, but with incremental changes
3. Re-submission of case studies likely
4. Use of impact metrics very unlikely
5. Increase in impact 'weight', possibly by getting rid of impact template

