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17 May 2017

[Similar Letters to Heads of Universities]

Dear President/Vice-Chancellor,

**Consultation on Proposed Framework for
Research Assessment Exercise 2020**

I am writing to formally seek the views of your university on the proposed framework for the next Research Assessment Exercise (RAE) in 2020.

The RAE is part of the University Grants Committee (UGC)'s commitment to assessing the performance of the UGC-funded universities in Hong Kong. Over the years, the outcome of the RAE has provided guidance for universities' developments in respect of pursuing research excellence. Universities' performance in the RAE also informs the allocation of part of the Research Portion of the Block Grant.

The encouraging outcome of the RAE 2014 revealed that our universities have made great strides in their research performance. Having regard to the general acceptance and positive feedback from the community, the UGC considered the future of research assessment in Hong Kong and exchanged views with Heads of Universities (HoUs) at their meetings with the Chairman of the UGC in September 2016 and February 2017.

With the support of the HoUs, the UGC is actively planning the next RAE in 2020 with the inclusion of research impact and environment as

new elements of assessment. The inclusion of impact is in line with a recommendation on the administration of recurrent grants for universities in the Director of Audit's Report No. 67, and an initiative announced in the 2017 Policy Address that research impact should be taken into account in the allocation of recurrent grants to universities.

We are mindful that the implementation details for the next RAE would be worked out having regard to the research arena and development in Hong Kong, as well as the costs and burden on universities in implementing the exercise. In light of this, we are undertaking consultation with relevant stakeholders on the proposed framework for the RAE 2020 at **Enclosure 1** which includes proposals on the key features and parameters of the exercise.

The proposed framework incorporates the principles, objectives and broad direction for the RAE 2020 as approved by the UGC. In drawing up the proposed framework, we have made reference to, amongst others, the comments and feedback from various parties in the RAE 2014, the research assessment frameworks in other jurisdictions, such as the United Kingdom (UK) and Australia, relevant proposals for the second Research Excellence Framework in the UK.

We welcome your views and comments on the proposed framework, which could reach us by 30 June 2017 using the reply form at **Enclosure 2**. Should you or your staff have any enquiries, please feel free to contact my colleagues Mrs Lowell Cho, Assistant Secretary-General (Research) 2 (email: lcho@ugc.edu.hk / tel.: 2844 9916) or Ms Becky Yu, Senior Research Administrator (email: byu@ugc.edu.hk / tel.: 2844 9917).

Yours sincerely,

A handwritten signature in black ink, appearing to read 'Richard T Armour', enclosed within a circular scribble.

(Richard T Armour)
Secretary-General

c.c. Council Chairman, [Name of University]
Encls.

Proposed Framework for Research Assessment Exercise (RAE) 2020

| (A) Overall | | | |
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| Item | Subject | Proposal for RAE 2020 | RAE 2014 |
| (1) | Primary purpose/ Objectives | <p>The RAE is part of the UGC’s commitment to assessing the research performance of UGC-funded universities. The objectives of the RAE 2020 as approved by the UGC are to –</p> <ul style="list-style-type: none"> (a) assess the research quality of UGC-funded universities to provide assurance of their research performance using international standards; (b) identify excellent research across the spectrum of submissions made by universities in order to drive excellence and encourage world-class research; (c) produce assessment outcomes to inform the distribution of part of the Research Portion of the UGC Block Grant in a publicly accountable manner, and provide direction to develop/enhance the research funding schemes administered by the UGC/RGC; (d) provide accountability for public investment in research and produce evidence of the benefits of this investment; (e) provide robust benchmarking information and establish reputational yardsticks for use within the UGC sector and for public information; and (f) delineate universities’ areas of relative strength and identify emerging research areas and opportunities for development. | <p>In essence, the primary purpose of the RAE 2014 is to assess the quality of research of UGC-funded universities on a sharpened basis by cost centres (not by individual staff members) to drive excellence, by evaluating their outputs, inputs and esteem measures. The results will be one of the key factors for allocating part of the research portion of the institutional recurrent Block Grant in a publicly accountable way. Results of the RAE 2014 will be communicated on a cost centre basis without disclosing the identities of individual academic staff members.</p> |
| (2) | Principles | <p>The principles for the RAE 2020 as approved by the UGC are –</p> <ul style="list-style-type: none"> (a) International standards – The RAE is a criterion-referenced exercise against quality levels as defined by international standards of research excellence. To maintain the credibility of the assessment process, international experts and members with discipline-specific expertise and | <p>The guiding principles for the RAE 2014 are –</p> <ul style="list-style-type: none"> (a) international standards would be used for assessment; (b) measurement would be sharpened, especially at the top end; (c) outputs and other measures |

| (A) Overall | | | |
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| Item | Subject | Proposal for RAE 2020 | RAE 2014 |
| | | <p>knowledge of local conditions will be engaged;</p> <p>(b) Fairness – The RAE adopts a single framework which underpins the submission and assessment process across all disciplines, with common rules and procedures, standard definitions, and broad generic criteria. The quality of each submission will be judged on its own merit and not in terms of its category, medium or language. All types of research will be treated equally;</p> <p>(c) Consistency – The assessment founded upon rigorous expert review will apply the same quality standards across and within panels. Panels’ professional judgement should be consistent within the overall framework of assessment, and complemented by calibration and development of panel-specific assessment criteria and working methods with respect to the differences in the nature of research across the disciplinary spectrum;</p> <p>(d) Inclusiveness – It is important to maintain an inclusive view on the scope of research. The RAE should include elements that appropriately measure the quality of a broad range of research in the sector, impact of research in a wider socio-economic context, and research environment taking into account the universities’ strategy, resources and infrastructure that support research;</p> <p>(e) Differentiation – The RAE measures the research quality of universities by cost centre (or unit of research assessment), not individual staff, in a comparable discipline. The measurement should be sharpened to differentiate excellence at the top end, and to delineate universities’ relative research strengths and areas for further improvement;</p> <p>(f) Efficiency – The methodology and implementation of the RAE should be as effective and efficient as possible with a</p> | <p>such as inputs would be included in assessment. While research output is not the sole parameter, it remains the main parameter;</p> <p>(d) the relative research strengths and weaknesses in universities would be measured;</p> <p>(e) international experts would be engaged;</p> <p>(f) the framework in these Guidance Notes results from:</p> <ul style="list-style-type: none"> • principles (a) to (e) above; • comments from universities since February 2008; • comments from the RAE Panels in 2006; • advice from the UGC’s expert consultant engaged in 2009; • practices in the UK and Australia; • the need for improvement in implementation mechanisms, e.g. to achieve the objectives and to minimize gaming; and <p>(g) the UGC will determine the funding formula after the completion of the RAE 2014, and will retain the flexibility to reflect the differences in research strengths of various cost centres amongst universities and to better differentiate funding allocation.</p> |

| (A) Overall | | | |
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| Item | Subject | Proposal for RAE 2020 | RAE 2014 |
| | | <p>view to minimising the costs, both to the universities and the Government, and burden of the exercise while delivering a robust and defensible process;</p> <p>(g) Transparency – The credibility of the RAE should be reinforced by transparency in the process through which decisions are made. Relevant stakeholders will be duly consulted and informed throughout the exercise. In line with the principle of public accountability, the operational details, such as the assessment methodology and criteria, and the results will be published for public access; and</p> <p>(h) Validity and Reliability – The exercise should aim to reach standards of validity and reliability expected by the Hong Kong academic and research community.</p> | |
| (3) | Scope of research | <p>The RAE 2020 maintains an inclusive view on the scope of research. The broadened meaning of scholarship as defined by the Carnegie Foundation continues to be a guiding reference – that is the discovery of knowledge, the integration of knowledge, the application of knowledge and the sharing of knowledge through teaching which are regarded as different forms of scholarship on par with each other – so that high quality research in all forms of scholarship will be encouraged and assessed as equally important across a broad front.</p> <p>In the context of the RAE 2020, research is defined as the process leading to new knowledge, insights, methodologies, solutions and inventions. It may involve systematic investigation, use of existing materials, synthesis, analysis, creation of artefacts or concepts, design, performance, and innovation.</p> | <p>The UGC considers it important to maintain an inclusive view in defining the scope of research for the purposes of assessment of research activities. In this regard, the Carnegie Foundation’s definition of scholarship remains a useful guiding reference for the RAE 2014, covering discovery, integration, application and teaching. The intention is to reinforce the message of a broadened definition of research so that high quality outputs in all forms of scholarship will be encouraged and assessed as equally important across a broad front. Since all types of research outputs will be assessed on an equal basis, universities are not required to classify outputs into one of the four types of scholarship in their RAE submission.</p> |

| (A) Overall | | | | | | | | | | | | | | | | | | | | | |
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| Item | Subject | Proposal for RAE 2020 | | RAE 2014 | | | | | | | | | | | | | | | | | |
| (4) | Elements of assessment and respective weightings | <p>All elements to be assessed on unit of assessment (UoA) basis.</p> <table border="0"> <thead> <tr> <th><u>Element</u></th> <th><u>Weighting</u></th> </tr> </thead> <tbody> <tr> <td>• Research outputs</td> <td>} 65%</td> </tr> <tr> <td>• Impact</td> <td>} 20%</td> </tr> <tr> <td>• Environment</td> <td>} 15%</td> </tr> </tbody> </table> <p>(RAE panels may decide to attach a weighting for individual aspects within the environment element (e.g. strategy, resources, esteem, etc.))</p> | | <u>Element</u> | <u>Weighting</u> | • Research outputs | } 65% | • Impact | } 20% | • Environment | } 15% | <table border="0"> <thead> <tr> <th><u>Element</u></th> <th><u>Weighting</u></th> </tr> </thead> <tbody> <tr> <td>• Research outputs</td> <td>} 80%</td> </tr> <tr> <td>• External competitive peer-reviewed research grants</td> <td>} 20%</td> </tr> <tr> <td>• Esteem measures</td> <td>} 10/10, but a panel may justify a departure from the default weighting split to either 15/5 or 5/15)</td> </tr> </tbody> </table> | | <u>Element</u> | <u>Weighting</u> | • Research outputs | } 80% | • External competitive peer-reviewed research grants | } 20% | • Esteem measures | } 10/10, but a panel may justify a departure from the default weighting split to either 15/5 or 5/15) |
| <u>Element</u> | <u>Weighting</u> | | | | | | | | | | | | | | | | | | | | |
| • Research outputs | } 65% | | | | | | | | | | | | | | | | | | | | |
| • Impact | } 20% | | | | | | | | | | | | | | | | | | | | |
| • Environment | } 15% | | | | | | | | | | | | | | | | | | | | |
| <u>Element</u> | <u>Weighting</u> | | | | | | | | | | | | | | | | | | | | |
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| • External competitive peer-reviewed research grants | } 20% | | | | | | | | | | | | | | | | | | | | |
| • Esteem measures | } 10/10, but a panel may justify a departure from the default weighting split to either 15/5 or 5/15) | | | | | | | | | | | | | | | | | | | | |
| (5) | Period of assessment | <p>Six years from 1 October 2013 to 30 September 2019.</p> <p>For the submissions and reporting of data by universities, the period of assessment for respective elements are proposed below –</p> <p>(a) Research outputs – 1 October 2013 to 30 September 2019;</p> <p>(b) Impact – 1 October 2013 to 30 September 2019, underpinned by research undertaken at, or significantly supported by, the submitting university during the period from 1 January 2000* to 30 September 2019; and</p> <p>(c) Environment – 1 October 2013 to 30 September 2019.</p> <p>Census date for reported data: 30 September 2019</p> <p>* The period of about 20 years from 1 January 2000 is proposed with reference to the similar span of underpinning research for impact assessment in the Research Excellence Framework (REF) 2014 in the United Kingdom (UK).</p> | | <p>Six years from 1 October 2007 to 30 September 2013</p> <p>For the submissions by universities, the RAE 2014 stipulated periods as below –</p> <p>(a) Research outputs – “assessment year” from 1 October 2007 to 30 September 2013; and “gap year” from 1 January 2006 to 30 September 2007;</p> <p>(b) External competitive peer-reviewed research grants – reporting of relevant data for the period from 2007/08 to 2012/13 academic years, i.e. from 1 July 2007 to 30 June 2013; and</p> <p>(c) Esteem measures – reporting of relevant data for the assessment period from 1 October 2007 to 30 September 2013.</p> <p>Census date for reported data: 30 September 2013</p> | | | | | | | | | | | | | | | | | |

| (A) Overall | | | |
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| Item | Subject | Proposal for RAE 2020 | RAE 2014 |
| (6) | Number of universities covered | Eight UGC-funded universities | Eight UGC-funded universities |
| (7) | Number of cost centres and RAE panels | <p>To –</p> <p>(a) reduce the number of cost centres to 33 with a view to reducing burden on universities and minimising the fluidity of boundaries between cost centres as far as practicable;</p> <p>(b) use the term “unit of assessment” in place of “cost centre” to enable clear differentiation between units for the purpose of research assessment and those for other cost-related purposes;</p> <p>(c) retain the number of panels at 13;</p> <p>(d) continue the arrangement in the RAE 2014 that the RAE panels may consider setting up sub-groups/sub-panels under their panels for the assessment of submissions;</p> <p>(e) invite universities to indicate their submission intentions and provide estimations in finer details, e.g. estimated number of submissions and eligible staff, main areas/keywords of their research submissions, and likely volume of submissions in languages other than English, under each unit of assessment, so as to facilitate panel formation with a view to matching the panel expertise with the submissions as far as possible; and</p> <p>(f) consider setting up inter-disciplinary sub-panel(s) under RAE panels, recruiting panel members of relevant expertise to serve on more than one RAE panel, and/or nominating at least one member in each RAE panel with specific role to “manage” inter-disciplinary submissions, with a view to addressing inter-disciplinary research.</p> <p>Details of the proposed mapping are at <u>Appendix 1</u>.</p> | 68 cost centres under 13 RAE panels |

| (A) Overall | | | |
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| Item | Subject | Proposal for RAE 2020 | RAE 2014 |
| (8) | Composition of RAE panels | <p>To –</p> <p>(a) increase the total number of RAE panel members by about 20% in view of the expanded scope and increased complexity of submissions;</p> <p>(b) continue the arrangement in the RAE 2014 that the majority of RAE panel membership (about 70%) be composed of international non-local scholars/experts, and that the Convenors and Deputy Convenors of the RAE panels be non-local, to ensure independent and fair assessment according to international standards;</p> <p>(c) engage local “research end-users” or professionals in respective fields (who need not be academics) as lay members to take part in the assessment of impact; and</p> <p>(d) continue the arrangement in the RAE 2014 that nominations for the RAE panel membership be invited from universities. Nominating parties will be asked to specify if the nominees have any potential conflict of interest, joint collaboration and/or association with the nominating parties.</p> | <p>Total 307 members comprising 214 (about 70%) non-local members, including one Convenor and one Deputy Convenor for each RAE panel, and 93 (about 30%) local members.</p> |
| (9) | Panel assessment method | <p>The RAE 2020 will continue to be an expert review exercise. Panels will be advised not to adopt a mechanical approach to the assessment. In line with the assessment criteria and procedures to be set out in the general panel guidelines, individual RAE panels will exercise collective professional judgments and develop working methods and discipline-specific criteria for their panels, within the overall framework and guidance for assessment.</p> | <p>The RAE 2014 is an expert review exercise. Panels are instructed not to adopt a mechanical approach to the assessment. Individual panels will exercise collective professional judgments and develop working methods and assessment criteria for their panels, within the overall framework and guidance for assessment.</p> |
| (10) | External reviews by non-RAE panel members | <p>Expert advice and evaluations from external reviewers may be sought as necessary.</p> | <p>Expert advice from external reviewers may be sought as necessary.</p> |

| (A) Overall | | | |
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| Item | Subject | Proposal for RAE 2020 | RAE 2014 |
| (11) | Staff eligibility | <p>To maintain similar criteria and arrangements as in previous RAEs by adopting a census date of 30 September 2019 for defining staff eligibility and taking into account all eligible academic staff in the RAE –</p> <p><u>Eligibility criteria</u></p> <p>Academic staff in each unit of assessment must meet the following criteria in order to be eligible for submitting research outputs for the RAE 2020 –</p> <p>(a) holding a full-time paid appointment at a UGC-funded university for a continuous period of at least 36 months covering the census date, i.e. 30 September 2019, provided that the employment start date was no later than 1 October 2018; and</p> <p>(b) wholly funded by the university proper[#] for degree or higher degree work within staff grades of “Professor” to “Assistant Lecturer”, or corresponding to Staff Grades “A” to “I” as defined for the purpose of the UGC Common Data Collection Format (CDCF).</p> <p>[#] Excluding schools/arms of the continuing education and professional training and other analogous organisations.</p> <p>Universities are required to submit a list of all academic staff who meet the eligibility criteria regardless of whether they intend to submit items for assessment, and/or whether they are research active. All eligible academic staff of a university will be taken into account in the university’s results in the RAE 2020.</p> <p><u>Assignment of eligible academic staff in each unit of assessment</u></p> <p>Universities are required to assign each of their eligible full-time academic staff (including those staff on joint appointment by two or more departments in the same universities) to a primary unit of assessment by head count in accordance with the mapping of their academic departments and research units. Each eligible staff member</p> | <p><u>Eligibility criteria</u></p> <p>Academic staff in each cost centre must meet the following criteria in order to be eligible for submitting research outputs for the RAE 2014 –</p> <p>(a) holding a full-time paid appointment at a UGC-funded university for a continuous period of at least 36 months covering the census date, i.e. 30 September 2013, provided that the employment start date was no later than 1 October 2012; and</p> <p>(b) wholly funded by the institution proper¹ for degree or higher degree work within staff grades of “Professor” to “Assistant Lecturer”, or corresponding to Staff Grades “A” to “I” as defined for the purpose of the UGC Common Data Collection Format (CDCF).</p> <p>¹ Excluding schools/arms of the continuing education and professional training and other analogous organisations.</p> <p>Universities are required to submit a list of all academic staff who meet the eligibility criteria regardless of whether they intend to submit items for assessment, and/or whether they are research active. All eligible academic staff of a university are taken into account in the university’s results in the RAE 2014.</p> <p><u>Assignment of eligible academic staff in each cost centre</u></p> <p>Universities are required to assign each of their eligible full-time academic staff (including those staff on joint</p> |

| (A) Overall | | | |
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| | | <p>reported will be counted as a whole unit “1” against the unit of assessment to which he/she is assigned. The number of eligible academic staff in a university’s unit of assessment must be three or more.</p> <p>Universities’ assignment of eligible academic staff to respective units of assessment can be subject to the UGC’s re-assignment in case of anomaly.</p> <p><u>New researchers</u></p> <p>Eligible academic staff who first took up a full-time academic appointment (in Hong Kong or elsewhere) on or after 1 August 2015 are regarded as “new researchers” and given special consideration.</p> <p><u>Eligible academic staff on paid/unpaid leave</u></p> <p>So long as an academic staff member who meets all the eligibility criteria is in a full-time paid appointment, he/she will be regarded as an eligible academic staff irrespective of any paid or unpaid leave taken during the period.</p> <p>(In exceptional cases, special consideration/exemption may be granted by the UGC to eligible academic staff who have been absent for a prolonged period, including those on leave for health or parental reasons, on a case by case basis.)</p> | <p>appointment by two or more departments in the same universities) to a primary cost centre by head count in accordance with the mapping of their academic departments and research units. Each eligible staff member reported will be counted as a whole unit “1” against the cost centre to which he/she is assigned. The number of eligible academic staff in a university’s cost centre must be three or more.</p> <p><u>New researchers</u></p> <p>Eligible academic staff who first took up a full-time academic appointment (in Hong Kong or elsewhere) on or after 1 August 2009 are regarded as “new researchers” and given special consideration.</p> <p><u>Eligible academic staff on paid/unpaid leave</u></p> <p>Further clarification was given that so long as a staff member who meets all the eligibility criteria was in a full-time paid appointment, he/she would be regarded as an eligible staff member irrespective of any paid or unpaid leave taken during the period.</p> |

| (A) Overall | | | |
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| Item | Subject | Proposal for RAE 2020 | RAE 2014 |
| (12) | Research Strategy Statements | <p>To –</p> <p>(a) maintain the submission requirement of University’s Research Strategy Statement to provide a context for panels’ assessment and that the statement will not be assessed; and</p> <p>(b) replace the Cost Centre’s Research Strategy Statement with the overview statements in impact and environment submissions as outlined in items 21 and 26 below respectively to reduce the burden and workload of universities.</p> | <p>Submission of statements below was required in the RAE 2014. Such statements were not assessed but were expected to provide a context for the panel’s assessment of the university and of the cost centres.</p> <p>(a) Institution’s Research Strategy Statement (two A4 pages) which sets out –</p> <ul style="list-style-type: none"> • University’s existing research policy • Research funding sources • Distribution of research efforts • Research strengths and overall research strategy <p>(b) Cost Centre’s Research Strategy Statement and Summary of Research Activities (two A4 pages) which sets out the cost centre’s –</p> <ul style="list-style-type: none"> • Research strategy statement • Research portfolio |
| (13) | Submission format | <p>Electronic format in principle, with details on the accessibility of research outputs and other submissions to be worked out in consultation with universities.</p> | <p>Electronic format: submission of the required data and statements, as well as access to the research outputs in universities’ electronic repositories through an RAE electronic system with flexibility on outputs that cannot be accessed through electronic repositories.</p> |

| (B) Assessment of Research Outputs | | | |
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| Item | Subject | Proposal for RAE 2020 | RAE 2014 |
| (14) | Definition of research output | <p>All research outputs submitted for the RAE 2020 must meet all of the following criteria –</p> <p>(a) the output contains an element of new insights and innovation;</p> <p>(b) the output and its process contribute to scholarship or transfer of knowledge, generating impact to academia and society at large; and</p> <p>(c) the output is publicly accessible or effectively shared in the profession.</p> <p>Provided that all the above criteria are fully met, it does not matter whether or not: (i) the research activities leading to the output items submitted for assessment are funded by the UGC; and (ii) the output items were produced in or outside Hong Kong and/or whether the eligible staff concerned were employed by the submitting universities at the time of publication or production of the outputs.</p> <p>The following cases are considered to be falling in the research outputs as defined above –</p> <p>(a) any publication, patent awarded or published patent applications, artifact, etc, provided it was –</p> <p>(i) published or made publicly available in other form within the assessment period; or</p> <p>(ii) not yet published, but officially accepted for publication (without any prior condition for its publication) within the assessment period, and supported by a letter of acceptance; or</p> <p>(b) other forms of output that may or may not be published, e.g. performance recording, video tape, computer software programme, architectural drawings, or any creative work, that can be evaluated for merit and an assessment obtained.</p> <p>Proprietary research that does not result in</p> | <p>All research outputs submitted for the RAE 2014 must meet all of the following criteria –</p> <p>(a) the output contains an element of innovation;</p> <p>(b) the output and its process contribute to scholarship; and</p> <p>(c) the output is publicly accessible.</p> <p>Provided that all the above criteria are fully met, it does not matter whether or not the research activities leading to the output items submitted for assessment are funded by the UGC.</p> <p>The following cases are considered to be falling in the research outputs as defined above –</p> <p>(a) any publication, patent awarded or published patent applications, artifact, etc, provided it was –</p> <p>(i) published or made publicly available in other form within the assessment period; or</p> <p>(ii) not yet published, but officially accepted for publication (without any prior condition for its publication) within the assessment period, and supported by a letter of acceptance; or</p> <p>(b) other forms of output that may or may not be published, e.g. performance recording, video tape, computer software programme, architectural drawings, or any creative work, that can be evaluated</p> |

| (B) Assessment of Research Outputs | | | |
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| Item | Subject | Proposal for RAE 2020 | RAE 2014 |
| | | <p>output that is accessible to the public and the profession is <u>not</u> accepted as an output for assessment. However, output items of exhibitions and demonstrations relating to proprietary research which are: (i) accessible to the public and the profession; (ii) non-traditional output for assessment; and (iii) contain enough information for evaluation, may be submitted for assessment.</p> <p>PhD dissertations are <u>not</u> accepted as outputs for assessment.</p> <p>Individual panels would decide, by exercising their professional judgement and having regard to the definition of research output, whether a submission, be it a review article, translation or textbook, would be accepted on the basis of the above criteria.</p> | <p>for merit and an assessment obtained.</p> <p>Proprietary research that does not result in output that is accessible to the public and the profession is <u>not</u> accepted as an output for assessment. However, output items of exhibitions and demonstrations relating to proprietary research which are (i) accessible to the public and the profession; (ii) non-traditional output for assessment; and (iii) contain enough information for evaluation, may be submitted for assessment.</p> <p>PhD dissertations are <u>not</u> accepted as outputs for assessment.</p> <p>Individual panels would decide whether a submission would be accepted on the basis of the above criteria.</p> |
| (15) | Assessment period | 1 October 2013 to 30 September 2019 | <p>(a) Research output items published in the “assessment year” – from 1 October 2007 to 30 September 2013; and</p> <p>(b) Research output items published in the “gap year” – from 1 January 2006 to 30 September 2007.</p> <p>For the purpose of assessing research outputs, items in the “assessment years” and the “gap year” are treated equally.</p> |

| (B) Assessment of Research Outputs | | | |
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| Item | Subject | Proposal for RAE 2020 | RAE 2014 |
| (16) | Submission requirements | <p>Four research outputs per eligible academic staff.</p> <p>In the event that fewer than four research outputs were submitted for the RAE 2020 in respect of individual eligible staff, the missing item(s) will be counted as “unclassified”.</p> <p>The number of research outputs to be submitted in respect of individual new researchers may be reduced according to the time when they first took up a full-time academic appointment (in Hong Kong or elsewhere) before the census date without the reduced item(s) being regarded as missing and deemed as “unclassified”. However, a university may submit up to four research outputs in respect of a new researcher. Details will be developed at a later stage.</p> | <p>Four research outputs per eligible academic staff, with flexibility of submitting up to one research output published in “gap year” period.</p> <p>Individual eligible staff may choose to submit fewer than four research outputs for the RAE 2014. In such a case, the missing item(s) will be counted as “unclassified”.</p> <p>New researchers may reduce the number of research outputs to be submitted (from one output up to three) according to the time when they first took up a full-time academic appointment (in Hong Kong or elsewhere) before the census date without the reduced item(s) being regarded as missing and deemed as “unclassified”. However, a new researcher may choose to submit up to four research outputs if he/she so wishes.</p> |

| (B) Assessment of Research Outputs | | | |
|---|---------------------|--|--|
| Item | Subject | Proposal for RAE 2020 | RAE 2014 |
| (17) | Assessment criteria | <p>Research outputs will be assessed in terms of their originality, significance and rigour with reference to international standards.</p> <p>In principle, the quality of each item is judged on its own merit and not in terms of its publication category (e.g. a journal paper is not necessarily of higher or lower merit than a book chapter), medium or language of publication.</p> <p>Panels will be requested to examine each item in detail for assessment. Panels may decide to use metrics or citation data to inform their assessment. However, such metrics and data will not be used in any algorithmic or deterministic way for the evaluation of research quality. Panels will be advised to take note of the limitations of metrics and citation data, in particular their variability within as well as between disciplines, and the need to consider that some excellent work takes time to achieve its full impact.</p> <p>In the event that a submission is deemed to fall into the expertise of other unit of assessment(s) (under the same or different panel), as in the case of interdisciplinary outputs, the subject RAE panel of the submission will make referral to other unit(s) of assessment for assessment. The final judgment on cross-panel referral should rest with the Convenor of the RAE panel to which the submission is submitted. The final rating of the submission will be logged into the primary unit of assessment of the submission.</p> | <p>Research outputs will be assessed in terms of their originality, significance and rigour with reference to international standards.</p> <p>In principle, the quality of each item is judged on its own merit and not in terms of its publication category (e.g. a journal paper is not necessarily of higher or lower merit than a book chapter), medium or language of publication.</p> <p>While panels are requested to study each item in detail for assessment, some panels may use citation data to inform their consideration of individual items. However, such data will not be used in any algorithmic or deterministic way for the evaluation of research quality. Panels are aware of the limitations of citation data, in particular their variability within as well as between disciplines, and the need to consider that some excellent work takes time to achieve its full impact.</p> <p>In the event that an output is deemed to fall into the expertise of other cost centre(s) (under the same or different panel), as in the case of interdisciplinary outputs, the subject panel of the staff member's primary cost centre will make referral to other cost centre(s) for assessment and scoring. The final judgment on cross-panel referral should rest with the Convenor of the panel to which the output is submitted. The final score of the output will be logged into the primary cost centre of the submitting staff member.</p> |

| (B) Assessment of Research Outputs | | | | | |
|---|--|--|---|--|---|
| Item | Subject | Proposal for RAE 2020 | | RAE 2014 | |
| | | <u>Category</u> <u>(Abbreviation)</u> | <u>Definition</u> | <u>Category</u> <u>(Abbreviation)</u> | <u>Definition</u> |
| (18) | Categories and definitions of quality levels | 4 star (4*) | World leading in terms of originality, significance and rigour. | 4 star (4*) | world leading |
| | | 3 star (3*) | Internationally excellent in terms of originality, significance and rigour. | 3 star (3*) | internationally excellent |
| | | 2 star (2*) | International standing in terms of originality, significance and rigour. | 2 star (2*) | international standing |
| | | 1 star (1*) | Research outputs of limited originality, significance and rigour. | 1 star (1*) | regional standing |
| | | unclassified (u/c) | Below 1 star quality; or not regarded as research outputs in the RAE 2020; or missing item in the submission. | unclassified (u/c) | below the starred levels above, or not regarded as research outputs in the RAE 2014 |

| (C) Assessment of Research Impact | | | | | | | | | | | | | | | | | | | | | | |
|---|---|--|---|---|--|--|-------|---|---|---|---------|---|---|---|---------|---|---|---|------------|--|---|---|
| Item | Subject | Proposal for RAE 2020 | | | | | | | | | | | | | | | | | | | | |
| (19) | Definition of impact | <p>For the purpose of the RAE 2020, impact is defined as the demonstrable contributions, effects, changes or benefits that research qualitatively makes to the economy, society, culture, public policy or services, health, the environment or quality of life; and that are beyond the academia.</p> <p>Academic impact, while being valuable, will be more appropriately assessed through the research output and environment elements in the RAE 2020.</p> | | | | | | | | | | | | | | | | | | | | |
| (20) | Assessment period | <p>1 October 2013 to 30 September 2019, underpinned by research undertaken at, or significantly supported by, the submitting university during the period from 1 January 2000* to 30 September 2019.</p> <p>* The period of about 20 years from 1 January 2000 is proposed with reference to the similar span of underpinning research for the assessment of impact in the UK REF 2014.</p> | | | | | | | | | | | | | | | | | | | | |
| (21) | Submission requirements | <p>Submission will be made on unit of assessment (UoA) basis by the university in which the underpinning research has been conducted.</p> <p>Each unit of submission comprises the following –</p> <p>(a) one impact overview statement describing the submitting unit’s approach during the assessment period from 1 October 2013 to 30 September 2019, to enabling impact from its research, and</p> <p>(b) impact case studies describing specific examples of impacts achieved during the assessment period, underpinned by research, research activity or a body of work produced by the submitting university in the period from 1 January 2000 to 30 September 2019.</p> <p>Proposed templates for (a) and (b) above are at <u>Appendices 2 and 3</u>.</p> <p>The number of impact case studies required in each unit of submission are proposed as follows, with reference to the number of eligible academic staff submitted for the RAE 2014 and with a view to minimising the workload and burden on universities in preparing submission –</p> <table border="1"> <thead> <tr> <th>Number of eligible academic staff (headcount) in the UoA</th> <th>Number of case study(ies) required for submission to the UoA</th> <th>Page limit (A4 size) for each impact overview statement</th> <th>Page limit (A4 size) for each impact case study</th> </tr> </thead> <tbody> <tr> <td>3 – 9</td> <td>1</td> <td>2</td> <td>4</td> </tr> <tr> <td>10 – 29</td> <td>2</td> <td>2</td> <td>4</td> </tr> <tr> <td>30 – 59</td> <td>3</td> <td>2</td> <td>4</td> </tr> <tr> <td>60 or more</td> <td>4, plus 1 further case study per additional 40 staff (headcount)</td> <td>3</td> <td>4</td> </tr> </tbody> </table> | Number of eligible academic staff (headcount) in the UoA | Number of case study(ies) required for submission to the UoA | Page limit (A4 size) for each impact overview statement | Page limit (A4 size) for each impact case study | 3 – 9 | 1 | 2 | 4 | 10 – 29 | 2 | 2 | 4 | 30 – 59 | 3 | 2 | 4 | 60 or more | 4, plus 1 further case study per additional 40 staff (headcount) | 3 | 4 |
| Number of eligible academic staff (headcount) in the UoA | Number of case study(ies) required for submission to the UoA | Page limit (A4 size) for each impact overview statement | Page limit (A4 size) for each impact case study | | | | | | | | | | | | | | | | | | | |
| 3 – 9 | 1 | 2 | 4 | | | | | | | | | | | | | | | | | | | |
| 10 – 29 | 2 | 2 | 4 | | | | | | | | | | | | | | | | | | | |
| 30 – 59 | 3 | 2 | 4 | | | | | | | | | | | | | | | | | | | |
| 60 or more | 4, plus 1 further case study per additional 40 staff (headcount) | 3 | 4 | | | | | | | | | | | | | | | | | | | |

| (C) Assessment of Research Impact | | | | | | | | | | | | | | |
|--|---|--|-----------------------------------|-------------------|-------------|---|-------------|--|-------------|--|-------------|---|--------------------|---|
| Item | Subject | Proposal for RAE 2020 | | | | | | | | | | | | |
| (22) | Assessment criteria | <p>The criteria for assessing research impacts are “reach and significance”.</p> <p>Panels will assess the “reach and significance” of impacts on the economy, society and/or culture that were underpinned by research conducted in the submitting unit/university, as well as the submitting unit’s approach to enabling impact from its research.</p> <p>In assessing the impact described within a case study, the panel will form an overall view about its “reach and significance” taken as a whole, rather than assess “reach and significance” separately. In assessing the impact overview statement, the panel will consider the extent to which the unit’s approach described in the overview statement is conducive to achieving impacts of “reach and significance”.</p> <p>Submissions would be assessed having regard to disciplinary differences.</p> | | | | | | | | | | | | |
| (23) | Categories and definitions of quality levels | <table border="1"> <thead> <tr> <th><u>Category</u> (Abbreviation)</th> <th><u>Definition</u></th> </tr> </thead> <tbody> <tr> <td>4 star (4*)</td> <td>Outstanding impacts in terms of their reach and significance.</td> </tr> <tr> <td>3 star (3*)</td> <td>Considerable impacts in terms of their reach and significance.</td> </tr> <tr> <td>2 star (2*)</td> <td>Some impacts in terms of their reach and significance.</td> </tr> <tr> <td>1 star (1*)</td> <td>Limited impacts in terms of their reach and significance.</td> </tr> <tr> <td>unclassified (u/c)</td> <td>The impact is of no reach and significance; or the impact was not eligible; or the impact was not underpinned by excellent research produced by the submitting unit; or nil submission.</td> </tr> </tbody> </table> | <u>Category</u> (Abbreviation) | <u>Definition</u> | 4 star (4*) | Outstanding impacts in terms of their reach and significance. | 3 star (3*) | Considerable impacts in terms of their reach and significance. | 2 star (2*) | Some impacts in terms of their reach and significance. | 1 star (1*) | Limited impacts in terms of their reach and significance. | unclassified (u/c) | The impact is of no reach and significance; or the impact was not eligible; or the impact was not underpinned by excellent research produced by the submitting unit; or nil submission. |
| <u>Category</u> (Abbreviation) | <u>Definition</u> | | | | | | | | | | | | | |
| 4 star (4*) | Outstanding impacts in terms of their reach and significance. | | | | | | | | | | | | | |
| 3 star (3*) | Considerable impacts in terms of their reach and significance. | | | | | | | | | | | | | |
| 2 star (2*) | Some impacts in terms of their reach and significance. | | | | | | | | | | | | | |
| 1 star (1*) | Limited impacts in terms of their reach and significance. | | | | | | | | | | | | | |
| unclassified (u/c) | The impact is of no reach and significance; or the impact was not eligible; or the impact was not underpinned by excellent research produced by the submitting unit; or nil submission. | | | | | | | | | | | | | |

| (D) Assessment of Research Environment | | | | | | | | | | | | |
|---|---|--|---|---|-------|---|---------|---|---------|---|------------|----|
| Item | Subject | Proposal for RAE 2020 | | | | | | | | | | |
| (24) | Definition of environment | For the purpose of the RAE 2020, research environment refers to the strategy, resources (e.g. grants obtained, people) and infrastructure that support research giving rise to collaborations, esteem and contributions to the discipline or research base. | | | | | | | | | | |
| (25) | Assessment period | 1 October 2013 to 30 September 2019 | | | | | | | | | | |
| (26) | Submission requirements | <p>Submission will be made on unit of assessment (UoA) basis.</p> <p>Each unit of submission comprises the following –</p> <p>(a) one environment overview statement describing the submitting unit’s research strategy; its support for research staff and students; its research income, infrastructure and facilities; its research collaborations, esteem and wider contributions to the discipline or research base during the assessment period, i.e. from 1 October 2013 to 30 September 2019; and</p> <p>(b) data on staff, graduates of research postgraduate (RPg) programmes and research grants/contracts from different sources of funding etc. during the assessment period, i.e. from 1 October 2013 to 30 September 2019.</p> <p>Proposed templates for (a) and (b) above are at <u>Appendices 4 and 5</u>.</p> <p>Page limit for each environment overview statement is proposed as follows –</p> <table border="1"> <thead> <tr> <th>Number of eligible academic staff (headcount) in the UoA</th> <th>Page limit (A4 size) for each environment overview statement</th> </tr> </thead> <tbody> <tr> <td>3 – 9</td> <td>4</td> </tr> <tr> <td>10 – 29</td> <td>6</td> </tr> <tr> <td>30 – 59</td> <td>8</td> </tr> <tr> <td>60 or more</td> <td>10</td> </tr> </tbody> </table> | Number of eligible academic staff (headcount) in the UoA | Page limit (A4 size) for each environment overview statement | 3 – 9 | 4 | 10 – 29 | 6 | 30 – 59 | 8 | 60 or more | 10 |
| Number of eligible academic staff (headcount) in the UoA | Page limit (A4 size) for each environment overview statement | | | | | | | | | | | |
| 3 – 9 | 4 | | | | | | | | | | | |
| 10 – 29 | 6 | | | | | | | | | | | |
| 30 – 59 | 8 | | | | | | | | | | | |
| 60 or more | 10 | | | | | | | | | | | |
| (27) | Assessment criteria | <p>The criteria for assessing research environment are “vitality and sustainability”.</p> <p>Panels will assess the research environment in terms of its “vitality and sustainability”, including its contribution to the “vitality and sustainability” of the wider discipline or research base.</p> <p>Panels may decide on whether to assess each environment submission as a whole, or to attach weighting to individual aspects within the environment element in their assessment.</p> | | | | | | | | | | |

(D) Assessment of Research Environment

| Item | Subject | Proposal for RAE 2020 | |
|-------------|--|--|--|
| | | <u>Category</u> <u>(Abbreviation)</u> | <u>Definition</u> |
| (28) | Categories and definitions of quality levels | 4 star (4*) | An environment that is conducive to producing research of world-leading quality, in terms of its vitality and sustainability. |
| | | 3 star (3*) | An environment that is conducive to producing research of internationally excellent quality, in terms of its vitality and sustainability. |
| | | 2 star (2*) | An environment that is conducive to producing research of internationally recognised quality, in terms of its vitality and sustainability. |
| | | 1 star (1*) | An environment that is conducive to producing research of limited quality, in terms of its vitality and sustainability. |
| | | unclassified (u/c) | An environment that is not conducive to producing research of 1 star quality; or nil submission. |

| (E) RAE Results | | | |
|------------------------|-------------------------|---|--|
| Item | Subject | Proposal for RAE 2020 | RAE 2014 |
| (29) | Overall quality profile | <p>An RAE Panel will produce an overall quality profile by assessing three elements of a unit of assessment's submission – research outputs, impact and environment – to produce a sub-profile for each element. The three sub-profiles will be aggregated to form the overall quality profile for the unit of assessment. The overall quality profile shows the proportion of research activity in the submission of a unit of assessment judged to meet the definitions of starred levels, as follows –</p> <p>4 star (4*) - world leading 3 star (3*) - internationally excellent 2 star (2*) - international standing 1 star (1*) - limited standing unclassified (u/c)</p> | <p>A Panel produced an overall quality profile by assessing three distinct elements of the assessment – research outputs, external competitive peer-reviewed research grants and esteem measures – to produce a sub-profile for each element. The three sub-profiles were aggregated to form the overall quality profile for the cost centre. The overall quality profile shows the proportion of research activity in a cost centre judged to meet the definitions at each starred level.</p> <p>Research output grading categories :</p> <p>4 star - world leading 3 star - internationally excellent 2 star - international standing 1 star - regional standing unclassified</p> <p>External competitive peer-reviewed research grants and esteem measures rating categories :</p> <p>4 star - exceptional 3 star - excellent 2 star - very good 1 star - good unclassified</p> |
| (30) | Release of RAE results | <p>Results in the form of overall quality profiles and sub-profiles of individual elements of assessment will be published by unit of assessment and by panel at both university's level and sector-wide level.</p> <p>Same set of results will be released to universities and the public.</p> | <p>Results in the form of overall quality profiles were published by cost centre and by panel at both university's level and sector-wide level.</p> <p>Same set of results was released to universities and the public.</p> |

| (E) RAE Results | | | |
|------------------------|---|--|--|
| Item | Subject | Proposal for RAE 2020 | RAE 2014 |
| (31) | Translating RAE results into funding decision | The UGC will decide on the funding methodology after the completion of the RAE 2020. Universities will be informed of the method used after the funding recommendations are accepted by the authorities. | The UGC to decide on the funding methodology after the completion of the RAE 2014. Universities were informed of the method used after the funding recommendations were accepted by the authorities. |

**Proposed Mapping of Units of Assessment and Subject Panels
for the Research Assessment Exercise (RAE) 2020**

| Panel in RAE 2014 and proposed for RAE 2020 (Total: 13) | Cost Centre in RAE 2014 (code & name) (Total: 68) | | Proposed Unit of Assessment for RAE 2020 (code & name) (Total: 33) | | No. of Eligible Staff in RAE 2014 | % / Total No. of Eligible Staff in RAE 2014 | No. of Submitting University (ies) in RAE 2014 |
|--|--|---|---|---|--|--|---|
| Biology | 6 | biological sciences | 1 | biological sciences (incl. environmental biology, biotechnology, agriculture & food science, veterinary studies and pre-clinical studies) | 239 | 5.38% | 6 |
| | 9 | other biological sciences (incl. environmental biology) | | | | | |
| | 10 | agriculture & food science | | | | | |
| | 22 | biotechnology | | | | | |
| | | | | | | | |
| | | | Sub-total : | 239 | 5.38% | | |
| Health Sciences | 1 | clinical medicine | 2 | clinical medicine | 378 | 8.51% | 2 |
| | 2 | clinical dentistry | | | | | |
| | 4 | nursing | | | | | |
| | 5 | other health care professions | | | | | |
| | 60 | Chinese medicine | | | | | |
| | 62 | optometry | | | | | |
| | 63 | rehabilitation sciences | | | | | |
| | 3 | clinical veterinary studies | | | | | |
| | 7 | pre-clinical studies | | | | | |
| | | | Sub-total : | 595 | 13.39% | | |
| Physical Sciences | 11 | physics & astronomy | 4 | physics & astronomy and materials science | 135 | 3.04% | 6 |
| | 13 | materials science | | | | | |
| | 12 | chemistry | 5 | chemistry | 116 | 2.61% | 6 |
| | 14 | earth sciences (incl. oceanography, meteorology) | | | | | |
| | 15 | other physical sciences (incl. environmental science) | | | | | |
| | 32 | mathematics & statistics | 7 | mathematics and statistics | 151 | 3.40% | 6 |
| | | | | | | | |
| | | | Sub-total : | 442 | 9.95% | | |
| Electrical & Electronic Engineering | 17 | electrical engineering | 8 | electrical & electronic engineering | 209 | 4.70% | 5 |
| | 18 | electronic engineering | | | | | |
| | | | | | | | |

Appendix 1

| Panel in RAE 2014 and proposed for RAE 2020 (Total: 13) | Cost Centre in RAE 2014 (code & name) (Total: 68) | | Proposed Unit of Assessment for RAE 2020 (code & name) (Total: 33) | | No. of Eligible Staff in RAE 2014 | % / Total No. of Eligible Staff in RAE 2014 | No. of Submitting University (ies) in RAE 2014 |
|---|---|---|--|--|-----------------------------------|---|--|
| Computer Science / Information Technology | 33 | computer studies/science (incl. Information Technology) | 9 | computer studies/science (incl. Information Technology) | 183 | 4.12% | 6 |
| | | | | Sub-total : | 183 | 4.12% | |
| Engineering | 16 | mechanical engineering | 10 | mechanical engineering and production engineering (incl. manufacturing & industrial engineering) | 171 | 3.85% | 5 |
| | 20 | production engineering (incl. manufacturing & industrial engineering) | | | | | |
| | 19 | chemical engineering | 11 | chemical engineering, biomedical engineering, textile technology, materials technology, other technologies (incl. environmental engineering & nautical studies) and marine engineering | 95 | 2.14% | 4 |
| | 21 | marine engineering | | | | | |
| | 23 | materials technology | | | | | |
| | 24 | textile technology | | | | | |
| | 26 | other technologies (incl. environmental engineering & nautical studies) | | | | | |
| | 65 | biomedical engineering | | Sub-total : | 266 | 5.99% | |
| Built Environment | 25 | civil engineering (incl. construction engineering & management) | 12 | civil engineering (incl. construction engineering & management) | 92 | 2.07% | 4 |
| | 27 | architecture | 13 | architecture, building technology, planning and surveying (land and other) | 154 | 3.47% | 4 |
| | 28 | building technology | | | | | |
| | 29 | planning | | | | | |
| | 30 | surveying, land | | | | | |
| | 31 | surveying, other | | Sub-total : | 246 | 5.54% | |
| Law | 34 | law | 14 | law | 109 | 2.45% | 4 |
| | | | | Sub-total : | 109 | 2.45% | |
| Business & Economics | 35 | accountancy | 15 | accountancy and finance | 202 | 4.55% | 7 |
| | 66 | finance | | | | | |
| | 40 | economics | 16 | economics | 117 | 2.63% | 7 |
| | 37 | business | 17 | business | 331 | 7.45% | 7 |
| | 39 | hotel management & tourism | 18 | hotel management & tourism | 44 | 0.99% | 3 |
| | | | | Sub-total : | 694 | 15.62% | |

Appendix 1

| Panel in RAE 2014 and proposed for RAE 2020 (Total: 13) | Cost Centre in RAE 2014 (code & name) (Total: 68) | | Proposed Unit of Assessment for RAE 2020 (code & name) (Total: 33) | | No. of Eligible Staff in RAE 2014 | % / Total No. of Eligible Staff in RAE 2014 | No. of Submitting University (ies) in RAE 2014 |
|--|--|--|---|--|--|--|---|
| Social Sciences | 8 | psychology | 19 | psychology | 73 | 1.64% | 5 |
| | 36 | political science (incl. public policy & administration & international relations) | 20 | political science (incl. public policy & administration & international relations) | 101 | 2.27% | 7 |
| | 41 | geography | 21 | geography | 42 | 0.95% | 3 |
| | 61 | sociology & anthropology | 22 | sociology & anthropology | 71 | 1.60% | 6 |
| | 42 | social work | 23 | social work and social policy | 115 | 2.59% | 7 |
| | 43 | other social studies | | | | | |
| | 49 | communications & media studies | 24 | communications & media studies | 62 | 1.40% | 4 |
| | | | | Sub-total : | 464 | 10.44% | |
| Humanities | 44 | Chinese language & literature | 25 | Chinese language & literature | 89 | 2.00% | 6 |
| | 45 | English language & literature | 26 | English language & literature | 84 | 1.89% | 6 |
| | 48 | translation | 27 | translation, linguistics & language studies | 119 | 2.68% | 7 |
| | 69 | linguistics & language studies | | | | | |
| | 50 | history | 28 | history | 63 | 1.42% | 7 |
| | 51 | other arts/humanities | 29 | area studies (e.g. Japanese studies, European studies, etc.), cultural studies and other arts/humanities | 127 | 2.86% | 8 |
| | 67 | area studies (e.g. Japanese studies, European studies, etc.) | | | | | |
| | 70 | cultural studies | | | | | |
| | 68 | philosophy & religious studies | 30 | philosophy & religious studies | 65 | 1.46% | 4 |
| | | | | Sub-total : | 547 | 12.31% | |
| Creative Arts, Performing Arts & Design | 52 | visual arts | 31 | visual arts, design, creative media and other creative arts | 114 | 2.57% | 6 |
| | 55 | other creative arts | | | | | |
| | 56 | design | | | | | |
| | 64 | creative media | | | | | |
| | 53 | performing arts | 32 | music and performing arts | 24 | 0.54% | 3 |
| | 54 | music | | | | | |
| | | | | Sub-total : | 138 | 3.11% | |
| Education | 58 | physical education & sports science | 33 | education (incl. physical education & sports science, curriculum & instruction, education administration & policy and other education) | 312 | 7.02% | 5 |
| | 71 | curriculum & instruction | | | | | |
| | 72 | education administration & policy | | | | | |
| | 73 | other education | | | | | |
| | | | | Sub-total : | 312 | 7.02% | |
| Total : | | | | | 4 444 | 100.00% | |

Research Assessment Exercise 2020
Impact Overview Statement¹

University:

Unit of Assessment (UoA):

- (1) **Context** – context for the individual case study(ies)
- (2) **Approach to impact** – the unit’s approach to impact during the assessment period for impact
- (3) **Strategy and plans** – strategy and plans for supporting impact
- (4) **Relationship to case studies** – the relationship between the unit’s approach to impact and the submitted case studies

¹ Maximum length and page format for submissions are prescribed below –

| (a) | Number of eligible academic staff (headcount) in the UoA | Page limit (A4 size) for each impact overview statement |
|-----|---|--|
| | 3 – 9 | 2 |
| | 10 – 29 | 2 |
| | 30 – 59 | 2 |
| | 60 or more | 3 |

(b) 12 point size in Times New Roman, single-line spacing, 2 cm margin all around.

Research Assessment Exercise 2020
Impact Case Study¹

University:

Unit of Assessment (UoA):

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)

¹ Maximum length: four A4 size pages; and prescribed format: 12 point size in Times New Roman, single-line spacing, 2 cm margin all around.

**Research Assessment Exercise 2020
Environment Overview Statement¹**

University:

Unit of Assessment (UoA):

- (1) Overview**

- (2) Research strategy**

- (3) People, including (i) staffing strategy and staff development; and (ii) research students**

- (4) Income e.g. grants received**

- (5) Infrastructure and facilities**

- (6) Collaborations**

- (7) Esteem**

- (8) Contribution to the discipline or research base**

¹ Maximum length and page format for submissions are prescribed below –

| (a) | Number of eligible academic staff (headcount) in the UoA | Page limit (A4 size) for each environment overview statement |
|-----|---|---|
| | 3 – 9 | 4 |
| | 10 – 29 | 6 |
| | 30 – 59 | 8 |
| | 60 or more | 10 |

(b) 12 point size in Times New Roman, single-line spacing, 2 cm margin all around.

**Research Assessment Exercise 2020
Environment Data**

University:

Unit of Assessment (UoA):

(A) Staff Employed by the University Proper¹ of the UGC-funded University

| (full time equivalent) | 1.10.2013 – 30.9.2014 | 1.10.2014 – 30.9.2015 | 1.10.2015 – 30.9.2016 | 1.10.2016 – 30.9.2017 | 1.10.2017 – 30.9.2018 | 1.10.2018 – 30.9.2019 |
|--|--------------------------|--------------------------|--------------------------|--------------------------|--------------------------|--------------------------|
| Wholly Funded by General Funds² | | | | | | |
| Academic staff primarily undertaking work at degree or higher level | | | | | | |
| Academic staff not primarily undertaking work at degree or higher level | | | | | | |
| Academic supporting staff and technical research staff | | | | | | |
| Administrative, technical and other staff | | | | | | |
| Partially Funded by General Funds² or Wholly Self-financed | | | | | | |
| Academic staff primarily undertaking work at degree or higher level | | | | | | |
| Academic staff not primarily undertaking work at degree or higher level | | | | | | |
| Academic supporting staff and technical research staff | | | | | | |
| Administrative, technical and other staff | | | | | | |
| Total | | | | | | |

(Note: Based on the list of eligible academic staff and associated data submitted by the university, the panels will separately be provided with a profile of eligible academic staff of the unit of assessment by rank and experience of eligible appointment at the submitting institution.)

¹ Excluding schools/arms of continuing education and professional training and other analogous outfits.

² General Funds comprise the total income received by the university, except that from specific funds (which include income received for specific or designated purposes, examples of which are earmarked grants and RGC research grants). General Funds include income from the UGC block grant, tuition fees, interest and investment income, donations for general purpose, etc.

(B) Graduates of Research Postgraduate (RPg) Programmes

| (headcount) | 1.10.2013 – 30.9.2014 | 1.10.2014 – 30.9.2015 | 1.10.2015 – 30.9.2016 | 1.10.2016 – 30.9.2017 | 1.10.2017 – 30.9.2018 | 1.10.2018 – 30.9.2019 |
|--|--------------------------|--------------------------|--------------------------|--------------------------|--------------------------|--------------------------|
| UGC-funded Programmes | | | | | | |
| Graduates of RPg programmes – doctoral degree | | | | | | |
| Graduates of RPg programmes – master's degree | | | | | | |
| Non-UGC-funded Programmes | | | | | | |
| Graduates of RPg programmes – doctoral degree | | | | | | |
| Graduates of RPg programmes – master's degree | | | | | | |

(C) On-going Research Grants/Contracts**(i) By Source of Funding**

| (HK\$ million) | 1.10.2013 – 30.9.2014 | 1.10.2014 – 30.9.2015 | 1.10.2015 – 30.9.2016 | 1.10.2016 – 30.9.2017 | 1.10.2017 – 30.9.2018 | 1.10.2018 – 30.9.2019 |
|--|--------------------------|--------------------------|--------------------------|--------------------------|--------------------------|--------------------------|
| Research Grants | | | | | | |
| Funded by UGC/RGC | | | | | | |
| HKSAR Government and Government-related organisations ³ | | | | | | |
| HK private funds | | | | | | |
| Non-HK ⁴ | | | | | | |
| Research Contracts | | | | | | |
| HKSAR Government and Government-related organisations ³ | | | | | | |
| HK private funds | | | | | | |
| Non-HK ⁴ | | | | | | |

(ii) By Role of University

| (aggregate %) | 1.10.2013 – 30.9.2014 | 1.10.2014 – 30.9.2015 | 1.10.2015 – 30.9.2016 | 1.10.2016 – 30.9.2017 | 1.10.2017 – 30.9.2018 | 1.10.2018 – 30.9.2019 |
|---|--------------------------|--------------------------|--------------------------|--------------------------|--------------------------|--------------------------|
| Research Grants/Contracts | | | | | | |
| Coordinating | | | | | | |
| Participating for joint research or others | | | | | | |

³ Such as the Innovation and Technology Fund (ITF), Health and Medical Research Fund (HMRF), Environment and Conservation Fund (ECF), Quality Education Fund (QEF), etc.

⁴ Including research grants/contracts from sources outside Hong Kong which are under the control of the submitting university, i.e. the university concerned has the authority to approve the use of funds for the research grants/contracts, while funds may not necessarily be transferred to the university for use in Hong Kong. Examples include the National Natural Science Foundation (NSFC) of China, European Commission, National Institutes of Health (NIH) in the United States of America, etc.

**Consultation on Proposed Framework for
Research Assessment Exercise (RAE) 2020****Reply Form****Name of University :** _____**Contact Person and Details :**
(Name, Post, Telephone No. and
Email Address) _____

(Please return by 30 June 2017 the completed reply form to the UGC Secretariat in both hardcopy (Address: 7/F Shui On Centre, 6-8 Harbour Road, Wanchai, Hong Kong) and softcopy in MS Word format (email address: byu@ugc.edu.hk).)

| (A) Overall | | |
|--------------------|---|-------------------------|
| Item | Subject | Views / Comments |
| (1) | Primary purpose/ Objectives | |
| (2) | Principles | |
| (3) | Scope of research | |
| (4) | Elements of assessment and respective weightings | |
| (5) | Period of assessment | |
| (6) | Number of universities covered | |
| (7) | Number of cost centres and RAE panels | |
| (8) | Composition of RAE panels | |
| (9) | Panel assessment method | |

| (A) Overall | | |
|--------------------|---|-------------------------|
| Item | Subject | Views / Comments |
| (10) | External reviews by non-RAE panel members | |
| (11) | Staff eligibility | |
| (12) | Research Strategy Statements | |
| (13) | Submission format | |

| (B) Assessment of Research Outputs | | |
|---|--|-------------------------|
| Item | Subject | Views / Comments |
| (14) | Definition of research output | |
| (15) | Assessment period | |
| (16) | Submission requirements | |
| (17) | Assessment criteria | |
| (18) | Categories and definitions of quality levels | |

| (C) Assessment of Research Impact | | |
|--|----------------------|-------------------------|
| Item | Subject | Views / Comments |
| (19) | Definition of impact | |
| (20) | Assessment period | |

| (C) Assessment of Research Impact | | |
|--|--|-------------------------|
| Item | Subject | Views / Comments |
| (21) | Submission requirements | |
| (22) | Assessment criteria | |
| (23) | Categories and definitions of quality levels | |

| (D) Assessment of Research Environment | | |
|---|--|-------------------------|
| Item | Subject | Views / Comments |
| (24) | Definition of environment | |
| (25) | Assessment period | |
| (26) | Submission requirements | |
| (27) | Assessment criteria | |
| (28) | Categories and definitions of quality levels | |

| (E) RAE Results | | |
|------------------------|---|-------------------------|
| Item | Subject | Views / Comments |
| (29) | Overall quality profile | |
| (30) | Release of RAE results | |
| (31) | Translating RAE results into funding decision | |