

RESEARCH ASSESSMENT EXERCISE 2014

Consultation Forum

 大學教育資助委員會
University Grants Committee

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Purposes

- To assess the quality of research of UGC institutions on a **cost centre** basis, using international benchmarks and sharpened measures.
- To use the results, which are produced using **outputs**, **inputs** and **esteem** measures, to inform institutional allocation of the recurrent **Research Block Grant** in a fair and transparent manner.

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Eligibility

- Academics from **Professor** to **Assistant Lecturer**, at a **UGC** institution
- **Full-time** paid appointment, wholly funded by the institution proper, with a minimum of **36-month** continuous contract, and
- Employment starts no later than **1 October 2012**

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Research Broadly Defined and Inclusive

Four types of **Scholarship**, as defined by the *Carnegie Foundation*, as a guiding reference:

- ✧ Discovery
- ✧ Integration
- ✧ Application
- ✧ Teaching

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Assessment Principles

- Comparing comparable cost centres
(e.g. History with History, not History with Physics)
- Components for assessment
 - ✧ Research Outputs = **80%**
 - ✧ Research Inputs + Esteem Measures = **20%**

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Research Outputs

- ✧ Max 4 items per researcher (Oct 2007 – Sept 2013)
- ✧ Replace 1 item from gap year (Jan 2006 – Sept 2007)
- ✧ Full-time administrators not included
- ✧ Reduce items by new researchers

PhD / 1st Academic Appointment	Items reduced
1 Aug 2009 – 31 July 2010	1
1 Aug 2010 – 31 July 2011	2
on or after 1 Aug 2011	3

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Research Outputs – International Benchmarks

4* *World leading*

agenda setting, profound influence

3* *Internationally excellent*

important contribution and influence

2* *International standing*

valuable incremental advances

1* *Regional standing*

useful minor influence

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Research Output – Double Weight

- ✧ For example, single-authored monograph produced by substantial effort
- ✧ Required substantial justifications

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Research Output – Co-authored

- By researchers from **different** institutions
 - ✧ To be counted for **each** participating institution
- By researchers from the **same** institution
 - ✧ Regardless of same or different cost centres
 - ✧ To be counted only **once** for the institution
 - ✧ Must indicate if submitted more than once

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Research Output – Interdisciplinary

- ✧ To be judged by a relevant Panel
- ✧ To refer to another Panel
- ✧ To seek external reviewers

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Research Inputs

External competitive peer-reviewed grants

- ✧ Total grant income of a cost centre
- ✧ Number of grants per funding source
- ✧ Listing of major grants awarded

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Research Inputs

External competitive peer-reviewed grants

- ✧ **Holistic** research funding of a **cost centre**
- ✧ Ratings of a cost centre
 - ★ 4 star ***exceptional***
 - ★ 3 star ***excellent***
 - ★ 2 star ***very good***
 - ★ 1 star ***good***
 - ★ zero star ***unclassified***

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Esteem Measures

- ✧ Max 4 measures per researcher
- ✧ Research awards, honors, prizes ...
- ✧ Significant editorial responsibility ...
- ✧ Other research support (e.g. industrial)

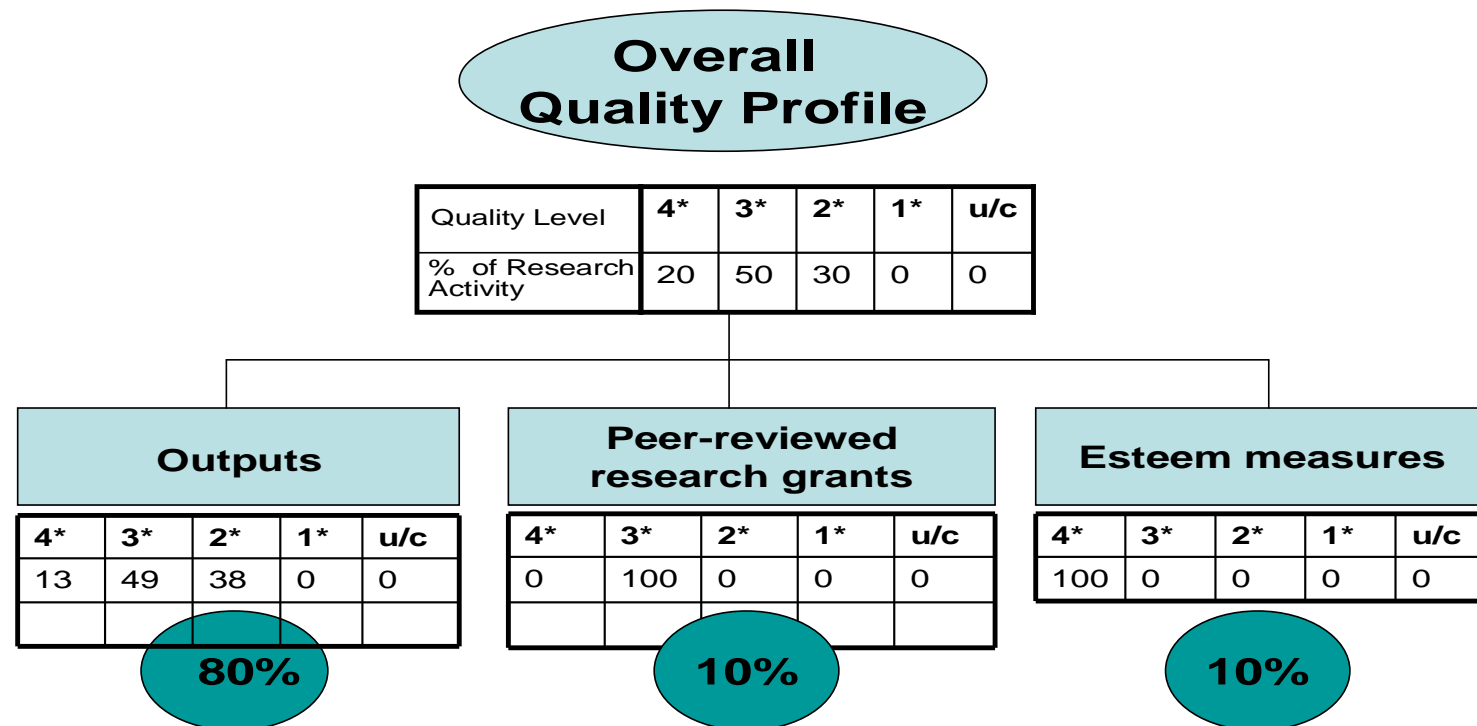
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Esteem Measures

- ✧ **Holistic** esteem factor of a **cost centre**
- ✧ Ratings of a cost centre:
 - ★ four star ***exceptional***
 - ★ three star ***excellent***
 - ★ two star ***very good***
 - ★ one star ***good***
 - ★ zero star ***unclassified***

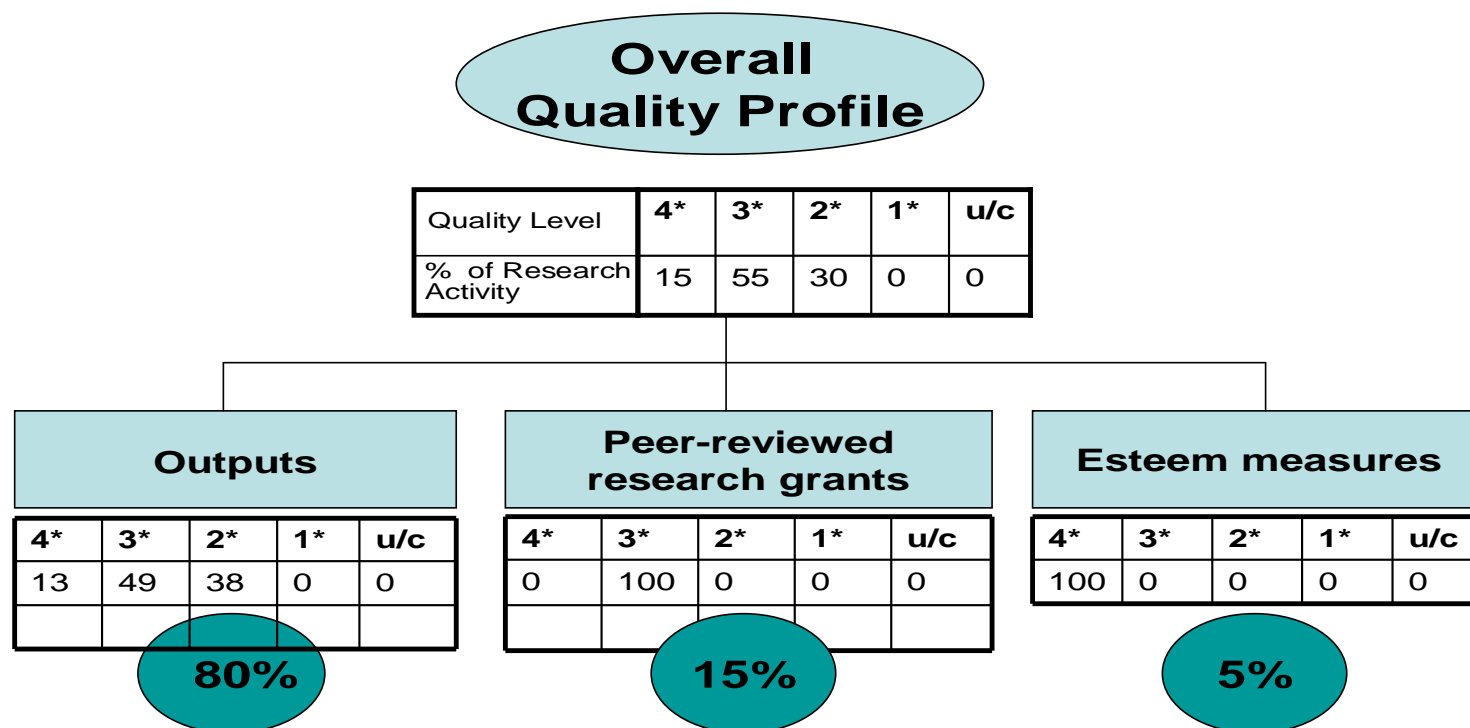
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Building a quality profile – Example 1



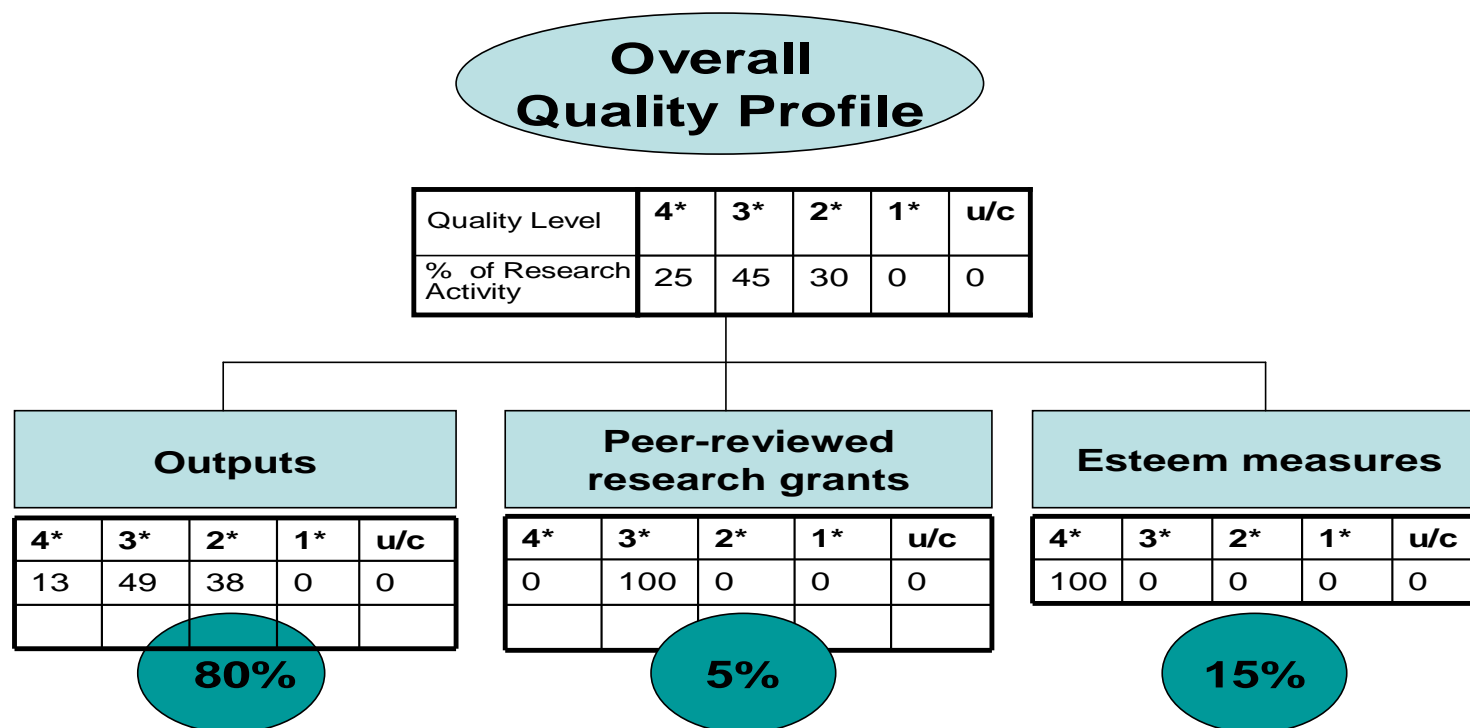
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Building a quality profile – Example 2



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Building a quality profile – Example 3



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Example: Overall Quality Profiles

Cost centre H	Number of eligible staff	Research components judged to meet the standard for				
		4 star	3 star	2 star	1 star	un- classified
Institution X	40	18%	41%	25%	16%	0%
Institution Y	60	12%	32%	45%	10%	1%

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Assessment Results & Dissemination

- ✧ To produce assessment results (overall quality profile) by cost centres in each institution
- ✧ To provide individual institutions their own cost centres' results, together with sector-wide **average** and **median** of cost centres

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Subject Assessment Panels (13)

- ✧ Convenors & Deputy Convenors (external)
- ✧ Panel members (>200)
- ✧ External panel members (>50%)

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Cost centres

- ✧ To map researchers, departments, research units to cost centres
- ✧ Proposed changes suggested by institutions
- ✧ From 64 to 68

RAE 2014 – Biology Panel

Draft Guidance Notes (May 2012)	Proposed Changes
<p>6. biological sciences</p> <p>9. other biological sciences</p> <p>10. agriculture</p> <p>22. biotechnology</p>	<p>6. biological sciences</p> <p>9. other biological sciences (incl. environmental biology)</p> <p>10. agriculture & food science</p> <p>22. biotechnology</p>

RAE 2014 – Health Sciences Panel

Draft Guidance Notes (May 2012)	Proposed Changes *
<ul style="list-style-type: none"> 1. clinical medicine 2. clinical dentistry 3. clinical veterinary studies 4. nursing 5. other health care professions 7. pre-clinical studies 60. Chinese medicine 62. optometry 63. rehabilitation sciences 	<p>No change</p>

RAE 2014 – Physical Sciences Panel

Draft Guidance Notes (May 2012)	Proposed Changes
11. physics & astronomy 12. chemistry 13. materials science 14. earth sciences (incl. oceanography, meteorology) 15. other physical sciences 32. mathematics & statistics	11. physics & astronomy 12. chemistry 13. materials science 14. earth sciences (incl. oceanography, meteorology) 15. other physical sciences (incl. environmental science) 32. mathematics & statistics

RAE 2014 – Electrical & Electronic Engineering Panel

Draft Guidance Notes (May 2012)	Proposed Changes *
17. electrical engineering 18. electronic engineering	No change

RAE 2014 – Computer Science / Information Technology Panel

Draft Guidance Notes (May 2012)	Proposed Changes *
33. computer studies/science (incl. information technology (IT))	No change

RAE 2014 – Engineering Panel

Draft Guidance Notes (May 2012)	Proposed Changes
<p>16. mechanical engineering 19. chemical engineering 20. production engineering (incl. manufacturing & industrial engineering) 21. marine engineering 23. materials technology 24. textile technology 26. other technologies (incl. nautical studies)</p>	<p>16. mechanical engineering 19. chemical engineering 20. production engineering (incl. manufacturing & industrial engineering) 21. marine engineering 23. materials technology 24. textile technology 26. other technologies (incl. environmental engineering & nautical studies) 65. biomedical engineering</p>

RAE 2014 – Built Environment Panel

Draft Guidance Notes (May 2012)	Proposed Changes *
<p>25. civil engineering 27. architecture 28. building technology 29. planning 30. surveying, land 31. surveying, other</p>	<p>25. civil engineering (incl. construction engineering & management) 27. architecture 28. building technology 29. planning 30. surveying, land 31. surveying, other</p>

RAE 2014 – Law Panel

Draft Guidance Notes (May 2012)	Proposed Changes *
34. law	No change

RAE 2014 – Business & Economics Panel

Draft Guidance Notes (May 2012)	Proposed Changes
<p>35. accountancy 37. business studies (incl. management) 38. catering 39. hotel management 40. economics</p>	<p>35. accountancy 37. business studies (incl. management) 38. catering 39. hotel management & tourism 40. economics 66. finance</p>

RAE 2014 – Social Sciences Panel

Draft Guidance Notes (May 2012)	Proposed Changes
<p>8. psychology 36. public administration 41. geography 42. social work 61. sociology 43. other social studies 49. communications & media studies</p>	<p>8. psychology 36. political science (incl. public policy & administration & international relations) 41. geography 42. social work 61. sociology & anthropology 43. other social studies 49. communications & media studies</p>

RAE 2014 – Humanities Panel

Draft Guidance Notes (May 2012)	Proposed Changes
<ul style="list-style-type: none"> 44. Chinese language & literature 45. English language & literature 46. Japanese language & literature 47. other languages 48. translation 50. history 51. other arts/humanities 	<ul style="list-style-type: none"> 44. Chinese language & literature 45. English language & literature 67. areas studies (e.g. Japanese studies, European studies, etc.) 47. other languages 48. translation 50. history 51. other arts/humanities 68. philosophy & religious studies 69. linguistics & language studies 70. cultural studies

RAE 2014 – Creative Arts, Performing Arts & Design Panel

Draft Guidance Notes (May 2012)	Proposed Changes
52. art 53. performing arts 54. music 55. other creative arts 56. design 64. creative media	52. visual arts 53. performing arts 54. music 55. other creative arts 56. design 64. creative media

RAE 2014 – Education Panel

Draft Guidance Notes (May 2012)	Proposed Changes
<p>57. education 58. physical education 59. home economics</p>	<p>57. education 58. physical education & sports science 59. home economics 71. curriculum & instruction 72. education administration & policy 73. other education</p>

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Important Dates

- Census Date 30 Sept 2013
- Assessment Period 1 Oct 2007 – 30 Sept 2013
- Gap Year 1 Jan 2006 – 30 Sept 2007

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Submissions

✧ **2 Dec 2013** – list of eligible staff

✧ **16 Dec 2013**

1. Research strategy statement of institutions
2. Research strategy statement of cost centres
3. Research outputs
4. Research inputs data and esteem measures

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UGC Working Schedule

- ✧ Jan - Aug 2014 assessment of submissions
- ✧ Aug - Sept 2014 panel meetings
- ✧ Nov 2014 panel reports
- ✧ Jan 2015 preliminary RAE results
- ✧ April 2015 final RAE results

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Q & A