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27 May 2013

[Similar Letters to Heads of Institutions]

Dear President/Vice-Chancellor,

Research Assessment Exercise (RAE) 2014
Guidance Notes and Other Updates

We are pleased to inform you that the Convenors and Deputy Convenors of all the thirteen RAE subject panels have been confirmed and the list has been posted on the University Grants Committee (UGC) website (copy attached at **Annex A**). All of them are respected academics and distinguished scholars in their related fields and have prior experience in similar research assessment exercises in the UK, Australia, New Zealand and Hong Kong.

As you may note, the Panel Convenors and Deputy Convenors held a series of meetings in mid-March 2013 in Hong Kong to meet the representatives of the RAE Group of the UGC and the local members of their respective panels, so as to understand the principles and methodology of the RAE 2014 as well as to develop the panel-specific assessment criteria and working methods of their respective panels, and to exchange views with the local academics and stakeholders at the open forum. The Convenors and Deputy Convenors have given very useful advice and suggestions on running the exercise in consideration of the views consolidated by you in response to our letter dated 31 January 2013 and those expressed by the local panel members, academics and stakeholders at the March meetings.

Separately, since the release of the Guidance Notes in November 2012 and the up-dated version in January 2013, there have been enquiries from individual institutions seeking clarifications of certain points. In order to provide clearer guidance and taking account of the suggestions collected at the March meetings, the UGC has made relevant amendments to some items in the Guidance Notes as listed in Annex B. A copy of the further up-dated Guidance Notes is now attached at Annex C and has been posted on the UGC website. In summary, the major revisions to the Guidance Notes as compared to the January 2013 version are as follows :

(a) Esteem Measures

The maximum total number of esteem measures that could be submitted by a cost centre will be reduced from “four” to “two” times the number of eligible staff, with a maximum of four per submitting staff member. The word limit will be 20 words for each item of esteem measure relating to individual academic and 50 words for each group esteem measure.

(b) Rating of External Competitive Peer-reviewed Research Grants and Esteem Measures

In rating the external competitive peer-reviewed grants and the esteem measures of individual cost centres of the institutions, the panel will give an overall profile rating using one or more of the five stated categories as appropriate.

(c) Institution’s Research Strategy Statement

Institution’s scores by cost centre in the RAE 2006 could be presented as a one-page attachment, together with the institution’s role statement. In other words, the maximum length for the main content of the Institution’s Research Strategy Statement will remain two A4 pages plus another one A4 page each for the two said attachments, totaling a maximum of four A4 pages following other prescribed format as stated in the Guidance Notes.

Taking this opportunity, I would also like to provide some clarification of the following issues :

(a) Staff Eligibility

The relevant provisions on staff eligibility in the Guidance Notes remain unchanged. In other words, full-time paid appointment at the UGC-funded institutions remains one of the criteria of staff eligibility for making submissions for the RAE 2014 and that there would be no special consideration to academic staff who have been absent for a significant period during the assessment period including those on unpaid leave for whatever reasons. In arriving at the latter decision, the UGC has taken into account the consideration that the RAE 2014 will be assessing the quality of research of the institutions holistically rather than evaluating each individual submitting staff member.

We would however like to clarify, for the avoidance of doubt, the implication of leave on staff eligibility. The Guidance Notes includes a statement, among others, that “only academic staff who have full-time paid appointment at a UGC-funded institution for a continuous period of at least 36 months may submit information to be assessed, provided that the employment start date was no later than 1 October 2012”. So long as the staff member concerned holds a full-time paid appointment as stated, he/she would be regarded as an eligible staff member irrespective of any paid or unpaid leave taken during the period, subject to meeting other requirements in the Guidance Notes. For instance, for a staff member holding a continuous full-time paid appointment with an institution since 1 January 2008 and with the current paid appointment contract valid until 31 December 2013, if he/she should take one-day unpaid leave on 30 September 2013 (the census date) for whatever reasons, as long as he/she would still be under the paid employment contract with the institution, this staff member would still be regarded as eligible.

(b) Eligible Academic Staff in Each Cost Centre

Institutions should not assign a cost centre with only one or two staff members. The staff members concerned should be assigned to the respective relevant cost centre of the department in which they are working. For instance, an institution employing only one full-time professor in law and he/she is working in the Department of Business Studies which engages a few other academic staff, the institution is expected to assign the professor in law to the cost centre 37 (business) instead of the cost centre 34 (law). His/Her

outputs may be referred to the Law Panel for assessment as appropriate while the ratings would be logged into the cost centre 37 (business). In sum, the minimum number of eligible academic staff members in any cost centre assigned by an individual institution, is three.

(c) External Competitive Peer-reviewed Research Grants

Institutions could report the amount of grants which are under the control of the eligible submitting staff for research projects which would result in publications. The amount of grants might not necessarily be transferred to the institutions for use in Hong Kong. This applies to all external competitive peer-reviewed research grants outside Hong Kong.

There might be occasions where the institutions return the unspent amount of grants to the funding body. Under such circumstances, the institutions should not report the unspent amount so returned to the funding body. This is similar to the scenario relating to transfer of funding between institutions as stated in para.7.2(e) of the Guidance Notes.

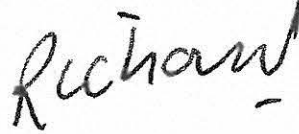
As regards the draft General Panel Guidelines and assessment criteria for individual panels, we are most grateful for your thoughtful and helpful comments and suggestions sent to us in February 2013. These have been conveyed to the panels, the RAE Group and the UGC for consideration. We are working on the General Panel Guidelines and Panel-specific Guidelines and aim to finalize these documents for issue in mid-2013.

The RAE 2014 is working on a tight schedule, in particular the development of the electronic system. I would like to take this opportunity to appeal for the continued support and cooperation from you and your colleagues to meet the various system requirements. In particular, we are grateful to the Joint University Librarians Advisory Committee's Copyright Committee members for assisting with copyright clearance and we would seek the co-operation of IT Directors to assign sufficient bandwidth to enable adequate download speeds for access by panel members and reviewers. Also we would seek their assistance with load testing of the system. In that regard we will approach the Joint Universities Computer Centre very soon and the Secretariat will continue to work closely with your colleagues in the process.

If you have any enquiries on the RAE 2014, please do not hesitate to contact Ms Gladys Leung, Assistant Secretary-General (Research) at

2844 9916 / gleung@ugc.edu.hk, or Ms Becky Yu, Senior Research
Administrator at 3427 2161 / byu@ugc.edu.hk

Yours sincerely,

A handwritten signature in black ink that reads "Richard". The signature is written in a cursive style with a horizontal line under the final letter.

(Richard T Armour)
Secretary-General

Encls.

c.c. C, UGC (w/e)
C, RAEG (w/e)

Research Assessment Exercise (RAE) 2014
List of Panel Convenors and Deputy Convenors
 (as of 16 April 2013)

Panel	Convenor	Deputy Convenor
Biology	Professor David Finnegan Professor, School of Biological Sciences, The University of Edinburgh, U.K.	Professor Anne Magurran, Professor, School of Biology, The University of St. Andrews, U.K.
Health Sciences	Professor Sir Patrick Sissons Emeritus Regius Professor of Physic, School of Clinical Medicine, University of Cambridge, U.K.	Professor Peter McGuffin Professor of Psychiatric Genetics, MRC SGDP Centre, King's College London, U.K.
Physical Sciences	Professor Bernard Silverman Professor of Statistics, University of Oxford, U.K.	Professor Michael P Doyle Professor and Chair, Department of Chemistry and Biochemistry, University of Maryland, U.S.A.
Electrical & Electronic Engineering	Professor Stephen Williamson Deputy Vice-Chancellor Research and Innovation, University of Surrey, U.K.	Professor Hugh Griffiths Thales/Royal Academy of Engineering Chair of RF Sensors, University College London, U.K.
Computer Science / Information Technology	Professor Jeffrey Kramer Senior Dean, Faculty of Engineering and Professor of Distributed Computing, Imperial College London, U.K.	Professor Thomas Rodden Professor of Computing, School of Computer Science, The University of Nottingham, U.K.
Engineering	Professor Neil Halliwell Emeritus Professor of Optical Engineering and Former Deputy Vice-Chancellor, Loughborough University, U.K.	Professor Rose Amal Scientia Professor, School of Chemical Engineering, The University of New South Wales, Australia
Built Environment	Professor Peter Waldron Emeritus Professor of Structural Engineering, The University of Sheffield, U.K.	Professor Koen Steemers Professor of Sustainable Design and Head of the Department of Architecture, University of Cambridge, U.K.
Law	Professor Peter Cane Distinguished Professor, College of Law, Australian National University, Australia	Professor James V. Feinerman Co-Director, Georgetown Law Asia; James M. Morita Professor of Asian Legal Studies, Georgetown University, U.S.A.
Business & Economics	Professor David Otley Distinguished Professor of Accounting and Management (Emeritus), Lancaster University Management School, U.K.	Professor Denise Osborn Robert Ottley Professor of Econometrics, The University of Manchester, U.K.
Social Sciences	Professor Vicki Bruce Professor of Psychology, Newcastle University, U.K.	Professor Sir Ivor Crewe The Master, University College, Oxford, U.K.
Humanities	Professor Hans Van de Ven Professor of Modern Chinese History, University of Cambridge, U.K.	Professor Stephanie Hemelryk Donald Future Fellow and Professor of Comparative Film and Cultural Studies, The University of New South Wales, Australia
Creative Arts, Performing Arts & Design	Professor Paul Gough Deputy Vice-Chancellor (Academic), University of the West of England, Bristol, U.K.	Professor Christopher Baugh Emeritus Professor of Performance and Technology, University of Leeds, U.K.
Education	Professor John Furlong Emeritus Professor, Department of Education, University of Oxford, U.K.	Professor Philippa Levy Professor of Higher Education Development, The University of Sheffield, U.K.

Research Assessment Exercise 2014**List of Amendments to the Guidance Notes**

(as of May 2013)

Heading/ paragraph number	Version as of January 2013	Version as of April 2013
Eligible academic staff in each cost centre 4.4	Institutions 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 institutions) to a primary cost centre. Each eligible staff member reported will be counted as a whole unit “1” against the cost centre to which he/she is assigned.	Institutions 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 institutions) 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 members in an institution’s cost centre must be three or more.
Definition of output 5.9 (a)	any publication, patent, artifact, etc., provided it was -	any publication, patent awarded or published patent application, artifact, etc., provided it was -
Co-authorship 5.16	If a co-authored research output is submitted by more than one academic within an institution, the institution needs to flag this, so that the relevant panel will rate it once, with the other submission(s) (of the same item) graded as unclassified.	If a co-authored research output is submitted by more than one academic within an institution, the institution needs to flag this and specify the academic (i.e. one of the co-authors) under whose name the output is submitted for rating, so that the relevant panel will rate it once, with the other submission(s) (of the same item) graded as unclassified.
Data required 5.17 (a)	If a panel wishes to use metrics to inform its decision, it will advise institutions on the rating system and quantifiable parameters. Otherwise, no metric should be included. The only exception will be in the case of manuscripts where book reviews may be submitted; and	If a panel wishes to use metrics to inform its decision, it will advise institutions on the rating system and quantifiable parameters. Otherwise, no metric should be included; and

Heading/ paragraph number	Version as of January 2013	Version as of April 2013
Data on external competitive peer-reviewed research grants 7.3	The attachment should include the number of grants under each funding source, and list details of each project (project title, funding body (with website if available), duration, total award amount and percentage of total award amount for the cost centre).	The attachment should include the number of grants under each funding source, and list details of each project (project title, name and institution of the Principal Investigator / Projector Coordinator, funding body (with website if available), duration, total award amount and percentage of total award amount for the cost centre).
Data on external competitive peer-reviewed research grants 7.4	On the basis of the above information, a panel will give an overall rating on external competitive peer-reviewed grants on a cost centre by evaluating it against other comparable cost centres within the same panel. The panel will normally give a single quality rating out of the following five rating categories, but may decide to allocate a profile across two adjacent quality levels:	On the basis of the above information, a panel will give an overall profile rating using one or more of the following five categories as appropriate, on external competitive peer-reviewed grants on a cost centre by evaluating it against other comparable cost centres within the same panel. A panel may choose to give a single quality rating, in which case, this will be interpreted as a single rating profile without allocation to other categories. The rating will be based on the following five categories:
Data on esteem measures 7.5 (a)	A maximum of four measures may be listed against each staff (not exceeding 100 words for each staff);	A maximum of four measures may be listed against each staff (not exceeding 20 words for each esteem measure relating to individual academic);
Data on esteem measures 7.5 (b)	esteem measures in respect of groups of staff or the cost centre as a whole may also be included, but in any case the total number of esteem measures entered should not exceed four times the number of eligible staff;	esteem measures in respect of groups of staff or the cost centre as a whole may also be included (not exceeding 50 words for each group esteem measure), but in any case the total number of esteem measures entered should not exceed two times the number of eligible staff;

Heading/ paragraph number	Version as of January 2013	Version as of April 2013
Data on esteem measures 7.5 (c)	<p>(c) ... They may include, but are not limited to the following relating to staff submitted and to a cost centre within the assessment period:</p> <ul style="list-style-type: none"> ● editorship of academic journals ● research-based awards, honours, or prizes ● significant grants or donations for research which are not competitive or peer-reviewed (e.g. some industry research grants) 	<p>(c) ... They may include, but are not limited to the following relating to staff submitted and to a cost centre within the assessment period:</p> <ul style="list-style-type: none"> ● editorship of academic journals; ● research-based awards, honours, or prizes; ● significant grants or donations for research which are not competitive or peer-reviewed (e.g. some industry research grants); and <p>(d) each separate item of esteem measure should cover a single incidence.</p>
Data on esteem measures 7.6	The panel will normally give an overall single quality rating out of the following five rating categories, but may decide to allocate a profile across two adjacent quality levels:	A panel will give an overall profile rating using one or more of the following five categories as appropriate. A panel may choose to give a single quality rating, in which case, this will be interpreted as a single rating profile without allocation to other categories. The rating will be based on the following five categories:
Form of submission 8.7	In view of the large volume of written submissions involved, institutions are requested to ensure that the submissions are complete, clearly labeled, and print copies are of good, readable quality.	In view of the large volume of written submissions involved, institutions are requested to ensure that the submissions are accurate and complete, clearly labeled, and print copies are of good, readable quality. All institution's submissions are subject to audit.
Institution's Research Strategy Statement Appendix B	<p>Maximum length and prescribed format: two A4 pages, 12 point fonts in Times New Roman, single-line spacing, one inch (or 2.54 cm) margin all round</p> <p>...</p> <p>In the RAE 2006, my institution's scores by cost centre were:</p>	<p>Maximum length and prescribed format: two A4 pages, excluding specified attachments in one A4 page each, 12 point fonts in Times New Roman, single-line spacing, one inch (or 2.54 cm) margin all round</p> <p>...</p> <p>In the RAE 2006, my institution's scores by cost centre were as attached.</p>

Heading/ paragraph number	Version as of January 2013	Version as of April 2013
Cost Centre's Research Strategy Statement and Summary of Research Activities Appendix D	I. <u>Research Strategy Statement</u> During the assessment period, the cost centre's research strategy is as follows: II. <u>Research Portfolio</u> Research activities in the cost centre during the same period are as follows:	I. <u>Research Strategy Statement</u> During the assessment period, the cost centre's research strategy was as follows: II. <u>Research Portfolio</u> Research activities in the cost centre during the same period were as follows:
External Competitive Peer-Reviewed Research Grants Received Attachment to Appendix G	--	Corresponding changes pursuant to the amendment to paragraph 7.3 above
Submission on Esteem Measures Appendix H	--	Corresponding changes pursuant to the amendments to paragraphs 7.5 (a),7.5 (b) and 7.5 (d) above
Quality Profile of a Cost Centre Appendix I	--	Changes in the worked example under Figure 1 and paragraphs 4-5 of Appendix I to illustrate an example in light of the amendments to paragraphs 7.4 and 7.6 above

University Grants Committee

Research Assessment Exercise 2014

Guidance Notes
(May 2013)

Contents

This document consists of the Guidance Notes and Appendices A to I. The document is also accessible on the University Grants Committee (UGC) website at <<http://www.ugc.edu.hk>>.

Distribution

Each UGC-funded institution should disseminate this document to every member of its academic staff, and to every member of its administrative staff responsible for research policy and support, in order that the aims, principles and methodology of the Research Assessment Exercise (RAE) are fully understood. Institutions may ask their staff members to access this document from the UGC website.

Enquiries

All enquiries should be routed through respective RAE coordinating offices of institutions.

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Appendix I Quality Profile of a Cost Centre

I. EXECUTIVE SUMMARY

1.1 Since 1993, the University Grants Committee (UGC) has conducted four Research Assessment Exercises (RAEs) to assess the research quality of institutions and to encourage world-class research. The upcoming 2014 assessment exercise will produce quality profiles of UGC-funded institutions, using international benchmarks and sharpened measures, to delineate their areas of relative strengths and weaknesses. The RAE 2014 results will be used to inform the distribution of part of the research portion of the UGC Block Grant to institutions in a publicly accountable way.

1.2 Currently the research portion accounts for 25% of the Block Grant. To propel Hong Kong's research to a higher level of excellence, we will introduce a new element of competition to research funding: the results of annual competitions for the Research Grants Council (RGC) research grants will gradually increase, over a course of nine years, account for half of the research portion (i.e. 12.5% of the Block Grant). The RAE 2014 results will inform the other half of the research portion (i.e. from about 20% in 2016/17 to about 12.5% in 2021/22).

1.3 Census date: 30 September 2013; period of assessment: 6 years from 1 October 2007 to 30 September 2013.

1.4 The RAE 2014 has the following main features similar to those of the RAE 2006:

- (a) benchmarking against international research standards;
- (b) comparing cost centres (rather than individual staff members): the research quality of a cost centre (or an academic unit) within an institution will be compared with cost centres of a comparable discipline in other institutions (e.g. History with History, not History with Physics);
- (c) using Carnegie Foundation's definition of four types of scholarship as a guiding reference for the scope of the RAE 2014: discovery, integration, application and teaching;
- (d) co-authored research outputs from different institutions may be submitted; and
- (e) appointing local and non-local members on the assessment panels. In appointing non-local panel members, due consideration will be given to discipline-specific expertise, including knowledge of the Chinese language and local conditions as necessary.

1.5 The following new features will be introduced in the RAE 2014:

- (a) research outputs will be classified into the following categories to sharpen measurement of research quality, especially at the top end:

4 star: world leading;
3 star: internationally excellent;
2 star: international standing;
1 star: regional standing;
unclassified;

- (b) research outputs will account for 80% of weighting; research inputs (i.e. external competitive peer-reviewed research grants) and esteem measures (e.g. research awards and industry research grants and contracts) together will account for 20% of the weighting;
- (c) each eligible academic staff member may submit up to 4 research outputs; up to 2 items may be submitted for double-weighting if justifiable by the amount of research effort (e.g. single-authored monographs);
- (d) institutions will not be required to classify an output as one of the Carnegie Foundation's definition of four types of scholarship;
- (e) a new researcher who first took up an academic appointment in Hong Kong or elsewhere (whichever date is the earlier) within 50 months before the census date or earlier may proportionately reduce the number of submitted outputs;
- (f) increased number of non-local experts in assessment panels: non-local experts will form a majority to minimize conflict of interest and enhance the credibility of assessment; and
- (g) both Convenors and Deputy Convenors of the RAE panels will be non-local; every effort will be made to ensure that the panels will have a good mix of expertise and understanding of local issues as necessary.

1.6 RAE results in the form of quality profiles will be announced and will inform UGC's allocation of research funding to reward, support and encourage more world class research conducted by the eight UGC-funded institutions. Funding allocation after the completion of the RAE 2014 will be formulated and executed in a fair and transparent manner, taking into account sustainability and stability of institutional funding.

II. PURPOSE AND PRINCIPLES OF THE RAE

(A) Origin of the RAE

2.1 Since 1993, the UGC has adopted a zero-based funding model which allocates funding to meet the objectives that each institution is expected to accomplish during the funding period, and according to the quality of its recent performance.

2.2 UGC funding for each institution is made up of two main elements: provision for teaching (about 75%); and provision for research (about 25%). It is the UGC's intention that public funds in support of research should reward excellence as reflected by performance, so that sufficient funding will be provided for effective pursuit of world class research. There is therefore a need to assess research performance in some way to determine the funding level.

2.3 The RAE is thus part of the UGC's performance-based assessment process. It aims to assess the quality of research at each of the UGC-funded institutions by cost centres (rather than by individual staff members) as one of the key factors for allocating part of the research portion of the institutional recurrent grant in a publicly accountable way. In essence, the RAE measures the research quality of a cost centre within an institution in comparison with cost centres of a comparable discipline in other institutions (e.g. History with History, not History with Physics), using international benchmarks. While the RAE will inform the distribution of the institutional recurrent Block Grant amongst institutions, each institution has full discretion to allocate such funding within the institution.

2.4 To avoid doubt, it must be stated that the aim of the RAE is not to produce a league table of the UGC-funded institutions. In fact, the quality profiles of cost centres cannot be converted into a simple linear scale. Nevertheless, the quality profiles of the various cost centres of an institution will delineate its areas of relative strength.

2.5 Although the RAE is based on individual research outputs, the UGC wishes to stress that it is **not** intended to be an assessment of individuals' research performance. Rather, it aims to assess institutional research performance by cost centre. A subject assessment panel will produce a quality profile for each cost centre. Institutions should not use the inferred information for internal evaluation of the performance of the researchers concerned, because staff appraisal must involve dimensions other than research, however broadly defined. Even for research alone, methodologies that are appropriate for assessment in the aggregate for funding purposes may not be appropriate for the assessment of the performance of individuals for purposes of personnel decisions.

(B) UGC's Policy on Research and the Objectives of the RAE 2014

2.6 There have been significant developments in the general policy background since the RAE 2006.

2.7 As mentioned in the UGC's Report "Aspirations for the Higher Education System in Hong Kong" published in December 2010, and further articulated in a paper provided to the Legislative Council Panel on Education in July 2011 (LC Paper No: CB(2)2291/10-11(07)), the UGC intends that over a period of nine years starting from 2012/13, half of the portion of the funding reserved for research, i.e. 12.5% of the Block Grant, will be progressively awarded on a competitive basis by reference to individual institutions' success in the RGC grants, subject to a review before the end of the 2012-15 triennium.

2.8 At the same time, within five years starting from 2012/13, 50% of all research postgraduate places will be allocated either through direct competition or by reference to other competitive schemes, as compared with the current practice of allocating almost all research postgraduate places on a historical basis.

2.9 As mentioned in the same Legislative Council paper, the UGC will conduct a new RAE in 2014 with sharpened measurement as a basis for distributing that part of the research portion of the Block Grant which is not awarded per paragraph 2.7 above.

2.10 In essence, the primary purpose of the RAE 2014 is to assess the quality of research of UGC-funded institutions on a sharpened basis by cost centres (not by individual staff members) to drive excellence, by evaluating their outputs, inputs and esteem measures; the result 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.

2.11 The UGC wishes to strongly emphasize that the RAE does not imply a disproportionate interest in research to the possible detriment of teaching quality. Both teaching and research are important and inter-related elements in higher education. Indeed, the bulk of the recurrent grants allocated to institutions is and should continue to be attributed to teaching. Nevertheless, it is necessary for the UGC to adopt different approaches to assess the funding requirements for teaching and research in view of the different nature of these activities.

2.12 The UGC is of the view that research is not an isolated activity; rather it should support and illuminate teaching and learning. 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: 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. This will help address the perceived bias in favour of basic/traditional research. The word "research" in this document should be read in this context.

2.13 The RAE 2014 will be guided by the following definitions of scholarship:

- (a) scholarship of discovery;
- (b) scholarship of integration;
- (c) scholarship of application; and
- (d) scholarship of teaching.

2.14 A brief definition of these four kinds of scholarship, adapted from the two Carnegie Foundation's Special Reports entitled "Scholarship Reconsidered: Priorities of the Professoriate", 1990 and "Scholarship Assessed: Evaluation of the Professoriate", 1997 is at **Appendix A**.

2.15 Following the practice in the RAE 2006, each institution will be required to submit a Research Strategy Statement to reflect its research philosophy, vision and priorities in relation to its role and stage of development, and the distribution of research efforts across disciplines.

2.16 The Research Strategy Statement should state and justify the institution's selected research focus areas, its existing strengths and standard, as well as its overall long-term research strategy. A template for preparing the Research Strategy Statement is at **Appendix B**. The declared research strategy will not be assessed but will provide a context for the panel's assessment of the institution and of the cost centres. It is expected that the RAE submissions will be consistent with the strategy at the institution and cost centre levels.

(C) Background to the RAE 2014

2.17 So far, four research assessment exercises have taken place: the first RAE in 1993, the second in 1996, the third in 1999 and the fourth in 2006.

2.18 The first RAE in 1993 was essentially modelled on the UK system and was implemented with the help of external consultants. A quality threshold which was not overly stringent was used. The second and third RAEs were built on the basis of the previous RAEs, but giving more recognition to the call for more diversity.

2.19 The size of the panels was expanded from 111 members in 1996 to 180 in 1999 and then to 208 in 2006. The number of non-local panel members was significantly increased from 15 in 1996, 42 in 1999, to 65 in 2006.

2.20 In retrospect, the RAE has been effective as a means of:

- (a) inducing improvement in research;
- (b) informing funding; and
- (c) upholding public accountability.

(D) Principles of the RAE 2014 and Consultation

2.21 In September 2011, the UGC advised institutions of the following guiding principles for the RAE 2014 that:

- (a) international standards would be used for assessment;

- (b) measurement would be sharpened, especially at the top end;
- (c) outputs and other measures such as inputs would be included in assessment. While research output is not the sole parameter, it remains the main parameter;
- (d) the relative research strengths and weaknesses in institutions would be measured;
- (e) international experts would be engaged;
- (f) the framework in these Guidance Notes results from:
 - principles (a) to (e) above;
 - comments from institutions 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
- (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 institutions and to better differentiate funding allocation.

2.22 Having regard to institutions' comments, the UGC decided on the framework for the RAE 2014 in April 2012. Details of the UGC's decision on the RAE framework were conveyed to institutions on 27 April 2012. The draft Guidance Notes (as at May 2012) were then worked out and sent to institutions on 17 May 2012 for consultation and comments by 13 July 2012. A consultation forum was also held on 1 September 2012 to provide an occasion for further dialogue, so that greater consensus on the principles and methodology could be reached before finalising the Guidance Notes for the RAE 2014. Taking into account the comments and feedback received, the draft Guidance Notes were further revised in October 2012.

(E) Outline

2.23 These Guidance Notes detail the way in which assessments will be made, the kind of information required and how it will be presented to the RAE panels for assessment. The following areas are covered by the Guidance Notes:

General

- (a) executive summary (Section I);

- (b) purpose and principles of the RAE (Section II);
- (c) definition of cost centres (Section III);
- (d) eligible academic staff in each cost centre (Section IV);

Assessment of the quality of research outputs

- (e) submission of data for each eligible staff (Section V);
- (f) evaluation guidelines (Section VI);

Assessment of input and esteem measures

- (g) external competitive peer-reviewed research grants and esteem measures (Section VII); and

Results

- (h) handling of results (Section VIII).

III. COST CENTRES

3.1 To bring departments onto a common classification system, institutions are asked to map their departments and research units onto a common list of “Cost Centres” according to the list in **Appendix C**. The mapping should be the same as that used in the UGC’s Common Data Collection Format (CDCF) returns. The cost centre forms the basis of the data for assessment.

3.2 For each cost centre, an appropriate representative from the institution, e.g. Department Head or Faculty Dean, should submit a Research Strategy Statement and a summary giving a factual description of the research activities in the cost centre in the form of **Appendix D**. Like the institution’s Research Strategy Statement, the cost centre’s Research Strategy Statement and the descriptive summary will not be assessed, but will provide a context for the panel’s deliberations.

IV. ELIGIBLE ACADEMIC STAFF IN EACH COST CENTRE

4.1 The UGC considers that the sustainability of institutions’ research capacity is one of the key factors that determines the long-term research development of the higher education sector. In this regard, the UGC has decided that only academic staff who have full-time paid appointment at a UGC-funded institution for a continuous period of at least 36 months may submit information to be assessed, provided that the employment start date was no later than 1 October 2012.

4.2 Furthermore, in the light of the latest staff eligibility rules for the Earmarked Research Grants promulgated by the RGC in August 2011, the RAE 2014

will adhere to the same general principle of covering only core academic staff who are wholly funded by the institution proper¹ for degree or higher degree work and are within staff grades of “Professor” to “Assistant Lecturer”. These correspond to Staff Grades “A” to “I” as defined for the purpose of CDCF (see **Appendix E**).

4.3 Institutions are required to submit a list of all academic staff who meet the above criteria regardless of whether they intend to submit items for assessment. The institutions’ returns will need to be submitted to the UGC Secretariat by 2 December 2013.

4.4 Institutions 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 institutions) 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 members in an institution’s cost centre must be three or more.

4.5 Inclusion of staff should only make reference to their job categories and the above eligibility criteria, and not to whether they are research active. Moreover, justification has to be provided in respect of the following:

- (a) any staff carrying titles that would superficially suggest inclusion in Staff Grades “A” to “I” (e.g. “Professor”, “Assistant Lecturer”) who are nevertheless not included in the list of eligible academic staff; or
- (b) staff carrying titles that are significantly different from the standard ones for Staff Grades “A” to “I” (e.g. “research officer”, “director”) who are nevertheless included in the list of eligible academic staff.

4.6 The census date for the reported data is 30 September 2013.

V. ASSESSMENT OF RESEARCH OUTPUTS: SUBMISSION OF DATA FOR EACH ELIGIBLE STAFF

(A) Who to submit

5.1 Institutions are invited to submit research materials in respect of any eligible staff who the institution feels has output that can be assessed. Such submission should reach the UGC Secretariat by 16 December 2013.

5.2 The research submissions will normally be assessed by the subject panel that is designated for the relevant cost centre. Each eligible staff member will submit all the outputs to his/her primary cost centre. Where a research output is interdisciplinary in nature, the submitting staff member will need to flag this and indicate

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

the primary cost centre and secondary cost centre of the output for relevant panel's consideration. In the event that an output is deemed to fall into the expertise of other cost centre(s) (under the same or different panel), 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.

5.3 The UGC recognizes that research, even as broadly defined in this exercise, only represents part of an institution's activities, and understands that there may be valid reasons why some valuable and respected members of staff may not, for the assessment period in question, contribute to the institution's research outputs. For example, some staff could be heavily involved in public service, or in institutional administration. Therefore each institution is free to decide, in consultation with the individual, not to make a submission, and no adverse record should or will be attached to any individual in respect of whom such a decision is taken. Nevertheless, each eligible staff member who has not submitted any research outputs for assessment will be deemed to have submitted four unclassified research outputs.

(B) What to submit

5.4 Each eligible staff member can only submit a **maximum number of four** research output items. The maximum number of items that can be submitted under each category is set out as follows:

Assessment Period ¹	"Assessment year" items		"Gap year" items	Maximum number of submission items
	1 October 2007 to 30 September 2013		1 January 2006 to 30 September 2007	
Number of research output items per eligible staff member ²	A	up to three	<u>and</u> up to one	4
	B	up to four		4

¹ See paragraph 5.7 for detailed information on assessment period.

² See Part (D) below for definition of research output items.

5.5 **Individual staff members can choose to submit less than four items.** In such a case, the missing item(s) will be graded as "unclassified" (see paragraph 6.9).

5.6 It is suggested that each cost centre convene a meeting of staff who are considering making a submission to discuss their submissions in relation to the cost centre's role and mission.

(C) Assessment period

5.7 For the purpose of paragraph 5.4 above, the assessment periods for the items under the two categories A and B will be as follows:-

- (a) Research output items produced in the “assessment year” – from 1 October 2007 to 30 September 2013; and
- (b) Research output items produced in the “gap year” – from 1 January 2006 to 30 September 2007.

(D) Definition of output

5.8 All output items submitted for assessment must meet all of the following criteria:

- (a) the output contains an element of innovation;
- (b) the output and its process contribute to scholarship; and
- (c) the output is publicly accessible.

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. PhD dissertations are **not** accepted as outputs for assessment.

5.9 The following are considered to be items falling within the research output items in paragraph 5.4 above:

- (a) any publication, patent awarded or published patent application, artifact, etc., provided it was -
 - (i) published or made publicly available in other form within the assessment period; or
 - (ii) not yet published, but officially accepted for publication (without any prior condition for its publication) within the assessment period as set out in paragraph 5.7. In this case, a letter of acceptance must be attached; or
- (b) other 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 (RAE panels to decide on the basis of the criteria in (a) above.)

5.10 Proprietary research that does not result in output that is accessible to the public and the profession is **not** accepted as an output for this purpose. 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.

5.11 To avoid doubt, the UGC wishes to stress that output items need **not** be restricted to papers in journals, and **all output items will be assessed without regard to the medium or language of publication**. In order to facilitate the assessment process, institutions are required to alert the UGC in the list of output submissions by academic staff if a submission is non-English so that appropriate assistance can be identified in good time. **In addition, “assessment year” items and “gap year” items (see paragraph 5.7 above) are treated equally.**

5.12 To minimize the financial and administrative burden in clearing copyright, manuscripts of the final accepted version of journal articles may be submitted for assessment if this is allowed by the copyright owner, but it is not appropriate to submit the version before peer review, as this may differ considerably from the published version.

(E) Double-weighted outputs

5.13 An academic may request that outputs of extended scale and scope be double-weighted (i.e. be counted as two outputs) in the assessment. No single output may be counted as more than double-weighted. Given that a maximum of four outputs may be listed against each staff member, no more than two outputs listed against an individual member should be double-weighted. When requesting double-weight, the academic must reduce the number of outputs by one, but may submit a “reserve” output for each double-weight request. The panels will decide whether to double-weight each output so requested. Where the panel does not accept the case for double-weighting, it will count the submitted output as a single output, and grade the “reserve” output instead. If no reserve output is submitted, the “missing” output will be graded as “unclassified”.

5.14 There is no presumption that double-weighted outputs will be assessed at a higher quality. The following procedure/criteria are relevant:

- (a) the academic requesting the double-weighting of a research output should justify his/her request in a statement not more than 100 words as to why the output merits double-weighting, e.g. how the research output (e.g. its scale or scope) required research effort equivalent to that required to produce two or more single outputs;
- (b) generally, journal articles, book chapters or conference papers are not normally permitted to double-weight, whereas single-authored monographs may be considered, for example;

- (c) co-authored items may in principle be identified and double-weighted by one or more of their authors, bearing in mind that the double-weighting claim should apply to the effort of the submitting author. However, please see the rule in paragraph 5.16 on multiple submissions of a co-authored item by the same institution; and
- (d) an academic may request to double-weight a gap year item. However, the corresponding reserve item must be within the assessment period.

(F) New researchers

5.15 New researchers present a special case, since they may not have had time to produce significant or publishable outputs according to the RAE definition. Therefore, all staff who first took up a full-time academic appointment (in Hong Kong or elsewhere) on or after 1 August 2009 will be given special consideration. Whereas an academic other than a new researcher submitting less than four research outputs will have any “missing” output graded as “unclassified”, a new researcher may reduce the number of outputs without such penalty according to the following scales. However, a new researcher can choose to submit up to four research outputs if he/she so wishes:

Time before the census date	Event[#]	Number of outputs may be reduced by up to
39 to 50 months	Between 1 August 2009 and 31 July 2010 inclusive	1
27 to 38 months	Between 1 August 2010 and 31 July 2011 inclusive	2
Less than 26 months	On or after 1 August 2011	3

[#] Event refers to the date the academic first took up a full-time academic appointment in Hong Kong or elsewhere (staff grades “A” to “I” in Hong Kong, or an appointment not below assistant professorship or equivalent outside Hong Kong).

(G) Co-authorship

5.16 A co-authored research output submitted by different institutions may be accepted and counted as one output for each of the institutions as long as each submitting academic has made a substantial contribution to the co-authored output. Submission of a co-authored research output by two or more academics within the same institution (irrespective of whether or not they are from one or more cost centres) will however be counted as one output. If a co-authored research output is submitted by more than one academic within an institution, the institution needs to flag this and specify the academic (i.e. one of the co-authors) under whose name the output is submitted for rating, so that the relevant panel will rate it once, with the other submission(s) (of the same item) graded as unclassified. If two or more panels are involved, the panels will collectively decide how to rate such a co-authored item from the same institution.

(H) Data required

5.17 In respect of each output item, institutions are required to provide access to the full set of the output to be assessed by panel members and external reviewers (the manner to provide access will be separately specified by the UGC). In addition, the following information may need to be provided:

- (a) where the panels consider appropriate, documentary evidence to demonstrate the impact of the research outputs. Specifically, whether metrics are to be used to inform the peer review process will be decided by each of the RAE panels. If a panel wishes to use metrics to inform its decision, it will advise institutions on the rating system and quantifiable parameters. Otherwise, no metric should be included; and
- (b) in the case of non-traditional items as described in paragraph 5.9(b), the staff member must provide extra information on (i) novelty of the work, (ii) the deliverables, and (iii) the dissemination method. In addition, particular attention should be drawn to the following:
 - for submissions relating to performing arts, such as drama, music composition, stage performance or a piece of creative work, they should include recordings which need to be made available to the panel members and external reviewers (as separately specified by the UGC); and
 - for submission in the areas of design, buildings, multi-media, or visual arts, photographs of the originals must include dimensions and good reproduction (method of access also to be separately specified by the UGC).

5.18 For submissions in categories (a) and (b) of paragraph 5.17, the description required for each is limited to 150 words.

(I) Further information

5.19 If a RAE panel requires any further information, it will approach the institution(s) concerned through the UGC Secretariat for assistance.

VI. EVALUATION GUIDELINES ON RESEARCH OUTPUTS

6.1 The scope of the assessment of the RAE 2014 includes three components: research output (80%); external competitive peer-reviewed research grants and esteem measures (20%). This section sets out the evaluation guidelines for research outputs.

(A) Panels

6.2 Since the RAE covers the whole range of cost centres, with different types of academic research outputs, the cost centres are grouped and placed under separate panels for assessment. The grouping of the cost centres and the list of RAE panels are in **Appendix F**.

6.3 Each panel will consist of mainly non-local academics and some local academics in the relevant disciplines and, where appropriate, also professionally qualified people from business, government, industry and the arts. Members will be appointed on an **ad personam** basis and will be specifically required to refrain from representing the interests of their own institutions. The standards will thus ultimately be set and the judgments made by academic peers and not by the UGC.

6.4 To ensure that non-traditional output items receive adequate attention, a sub-group with suitable membership (including members drawn from outside academia, where appropriate) may be constituted under each panel to evaluate such items separately, and to make recommendations regarding their assessment to the full panel.

6.5 Institutions had been separately invited to provide views on the proposed mapping of cost centres to the subject panels for the RAE 2014 and nomination of panel members, so that RAE panels can be formed in time.

(B) Objectives of research

6.6 The UGC perceives two objectives for research in the UGC-funded institutions:

- (a) to participate in the global endeavour to extend human understanding thus keeping the knowledge base in the institutions current; and
- (b) to encourage research tied to the interests and needs of the community.

6.7 The UGC will continue to encourage research outputs with social relevance. These outputs will be captured and assessed in terms of academic strength and quality of benchmarking against international standards.

6.8 The UGC will strive to ensure broad comparability across disciplines, but it will be up to each panel, with its subject expertise and knowledge of local circumstances, to translate the general definitions into more precise benchmarks appropriate to each discipline or group of disciplines. The panels will also be expected to interpret the guidelines with due regard to the nature of those subjects that may, by their nature, necessarily have a strong regional focus.

(C) Evaluation of the quality of research outputs

6.9 Research outputs will be assessed in terms of their originality, significance and rigour with reference to international standards and be graded into five categories:

- (a) 4 star: world leading;
- (b) 3 star: internationally excellent;
- (c) 2 star: international standing;
- (d) 1 star: regional standing; and
- (e) unclassified.

6.10 The five categorizations are broadly defined as follows:

- (a) a panel will grade a research output as four star “world leading” in terms of originality, significance and rigour if the panel sees evidence of, or potential for, some of the following characteristics:
 - agenda setting / primary or essential point of reference;
 - great novelty in thinking, concepts or results, or outstandingly creative;
 - developing or instrumental in developing new paradigms or fundamental new concepts for research;
 - research that is leading or at the forefront of the research area, or having major / profound influence.
- (b) a panel will grade a research output as three star “internationally excellent” in terms of originality, significance and rigour if the output falls short of the highest standard of excellence, but the panel sees evidence of, or potential for some of the following characteristics:
 - important point of reference or makes important contributions likely to have a lasting influence;
 - significant influence.
- (c) a panel will grade a research output as two star “international standing” in terms of originality, significance and rigour if the panel sees evidence of, or potential for some of the following characteristics:
 - a recognised point of reference or of some influence;
 - provides useful or valuable knowledge / influence;

- incremental advances in knowledge / thinking / practices / paradigms.
- (d) a panel will grade a research output as one star “regional standing” if the panel sees some evidence of, or potential for some of the following characteristics:
- useful contribution of minor influence.
- (e) a panel will grade a research output as “unclassified” if it falls below the quality levels in (a) to (d) above or does not meet the definition of research used for the RAE 2014.

(D) Other evaluation guidelines

6.11 To minimize any possible divergence in judgment with regard to the use of international standards, all RAE subject panels will be asked to make reference to the following amplifications:

International excellence **This should not be equated with output items published outside of Hong Kong or the region; rather it is intended that evaluation should be made with reference to the best international norms in that discipline or sub-discipline. It is possible that in some particular disciplines, such norms are set by output items published in Hong Kong or the region.**

International vs. regional **A distinction should be made in qualitative terms between (a) a publication that is regional because it addresses regional or local issues, and (b) a publication that is regional because it does not meet the standards of rigour and scholarship expected internationally in that discipline. In the former case, the categorization of the item will not be adversely affected; in the latter, it will be.**

6.12 The quality of each item will be judged on its own merits and **not** in terms of its category (e.g. a journal paper is not necessarily of higher or lower merit than a book chapter), medium or language of publication. Further, the panels will be instructed **not** to adopt a mechanical approach during the assessment.

6.13 Output items will be judged on their own merits and not simply by their category or medium of publication. However, panels should recognize that there could be quality output items in media that may not be prestigious. Therefore, the panel (or designated member(s)) need to study each item in question and not judge it automatically according to the medium of publication.

VII. EVALUATION GUIDELINES ON EXTERNAL COMPETITIVE PEER-REVIEWED RESEARCH GRANTS AND ESTEEM MEASURES

(A) Assessment on dimensions other than outputs

7.1. Taken together, external competitive peer-reviewed research grants and esteem measures account for 20% of the weighting, as against 80% for research outputs. The default weighting split between peer-reviewed research grants and esteem measures is 10/10, but a panel may justify a departure from the default weighting split (to either 15/5 or 5/15).

(B) Data on external competitive peer-reviewed research grants

7.2 Each cost centre is required to fill in a proforma at **Appendix G** to provide data on competitive peer-reviewed grants from outside the institution:

- (a) grant income (not initial award amount) received for each of the academic years from 2007/08 to 2012/13, broken down into funding sources of UGC/RGC, other Hong Kong Government funding, Hong Kong based non-government funding, and outside Hong Kong;
- (b) indirect/on-costs are to be included. For RGC's Earmarked Research Grants awarded in 2011/12 and thereafter, indirect/on-costs may not be transferred to institutions at the same time as project funding, but the indirect/on-costs should nevertheless be included in the academic year in which the corresponding project funding is paid;
- (c) where more than one cost centre is involved, the grant income should be divided between the cost centres. Where research projects are funded from several sources, the income should be allocated under respective headings to reflect the actual source of income;
- (d) where a project is undertaken by several institutions or organizations, grant income received and spent by the institution making the report should be included. The co-ordinating institutions should not include any portion of income passed on to other institutions or organizations;
- (e) researchers may on occasion move between institutions during the progress of a project. If the original institution continues to receive income from the grant, then this should be reported by that institution alone. If funding is transferred to another institution, the other institution should report the amount so transferred; and
- (f) apart from reporting the amount of grant income received, the amount per capita basis should also be included.

7.3 Further, each cost centre is required to provide an attachment listing details of the competitive peer-reviewed research grants of any funding amount, subject to a maximum number of grants to be listed, which should be two times the number of eligible staff members in the cost centre, or 20 for a cost centre with eligible staff size below 10. The attachment should include the number of grants under each funding source, and list details of each project (project title, name and institution of the Principal Investigator / Project Coordinator, funding body (with website if available), duration, total award amount and percentage of total award amount for the cost centre).

7.4 On the basis of the above information, a panel will give an overall profile rating using one or more of the following five categories as appropriate, on external competitive peer-reviewed grants on a cost centre by evaluating it against other comparable cost centres within the same panel. A panel may choose to give a single quality rating, in which case, this will be interpreted as a single rating profile without allocation to other categories. The rating will be based on the following five categories:

- (a) 4 star: exceptional;
- (b) 3 star: excellent;
- (c) 2 star: very good;
- (d) 1 star: good; and
- (e) unclassified.

(C) Data on esteem measures

7.5 Each cost centre is required to provide data on esteem measures on **Appendix H**, as follows:

- (a) each cost centre is required to provide esteem measures in respect of submitting staff. A maximum of four measures may be listed against each staff (not exceeding 20 words for each esteem measure relating to individual academic);
- (b) esteem measures in respect of groups of staff or the cost centre as a whole may also be included (not exceeding 50 words for each group esteem measure), but in any case the total number of esteem measures entered should not exceed two times the number of eligible staff;
- (c) esteem measures should be recognition conferred by a body outside the institution. They should demonstrate the distinguished achievement of individual researchers, groups or the cost centre as a whole. They may include, but are not limited to the following relating to staff submitted and to a cost centre within the assessment period:

- editorship of academic journals;
 - research-based awards, honours, or prizes;
 - significant grants or donations for research which are not competitive or peer-reviewed (e.g. some industry research grants); and
- (d) each separate item of esteem measure should cover a single incidence.

7.6 In rating esteem measures, the panel benchmarks against international standard and evaluates a cost centre of an institution against other comparable cost centres within the same panel. A panel will give an overall profile rating using one or more of the following five categories as appropriate. A panel may choose to give a single quality rating, in which case, this will be interpreted as a single rating profile without allocation to other categories. The rating will be based on the following five categories:

- (a) 4 star: exceptional;
- (b) 3 star: excellent;
- (c) 2 star: very good;
- (d) 1 star: good; and
- (e) unclassified.

VIII. HANDLING OF RESULTS

(A) Construction of quality profiles on cost centres

8.1 As indicated earlier, the primary purpose of the RAE is to assess the research performance of the UGC-funded institutions by cost centre; it is **not** intended to evaluate individual staff. The subject panels will only produce results by cost centre in each institution.

8.2 In the RAE 2006, the results of the RAE of individual institutions were conveyed to the Heads of the institutions, together with the sector-wide average and median indices of the cost centres. However, the sector-wide average and median indices of the cost centres found in fewer than three institutions would not be provided. The RAE 2014 will follow this practice.

8.3 For the RAE 2014, the sub-profiles of research outputs, peer-reviewed grants and esteem measures of a cost centre will be combined to form an overall quality profile as per the worked example at **Appendix I**.

(B) Transparency

8.4 In line with the principle of public accountability and the practice in the RAE 2006, the UGC has decided that the RAE 2014 results should be released to the public as follows:

- (a) operational details of the process, such as panel membership, evaluation methodology and the meeting schedules of panels, will be published for general information;
- (b) RAE results at the sector wide level will be published;
- (c) at the institutional level, aggregate results in panel/cost centre will be published; and
- (d) some reading guides will be developed to help the public and the press understand the statistics.

8.5 The results, together with other relevant factors, will inform the UGC's distribution of part of the research funding of the Block Grant for institutions until the results for any future RAE are available. The funding allocation will be on the basis that high quality research according to international standard will be adequately funded so that more world class research will be conducted by UGC-funded institutions. In addition, funding will be allocated in a fair and transparent manner, taking into account sustainability and stability of institutional funding.

(C) Timetable for the submission of data for the RAE 2014

8.6 To summarize, institutions are requested to submit the following data and supporting documents in accordance with the dates shown below:

2 December 2013	- A list of all eligible academic staff for each cost centre as mentioned in paragraph 4.3 (and 4.5 if needed)
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<p>16 December 2013</p>	<ul style="list-style-type: none"> - Research Strategy Statement of the institution as per paragraph 2.16 (Appendix B) - Research Strategy Statement of each cost centre as per paragraph 3.2 (Appendix D) - Research output items as described in paragraph 5.4 and data on such research outputs as per paragraphs 5.17 and 5.18 - Data on competitive peer-reviewed grants and esteem measures of each cost centre (Appendices G and H)
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(D) Form of submission

8.7 The forms of submission and any other data submitted in accordance with these Guidance Notes should be forwarded to the UGC Secretariat in a manner to be separately prescribed by the UGC. In view of the large volume of written submissions involved, **institutions are requested to ensure that the submissions are accurate and complete, clearly labeled, and print copies are of good, readable quality. All institution's submissions are subject to audit.** The Secretariat is undertaking work regarding the establishment of an electronic processing system for the RAE 2014, and may issue more operational guidelines with regard to the handling of RAE submissions.

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UGC Secretariat
May 2013

Scholarship as defined by the Carnegie Foundation

Following the 2006 RAE, the UGC has decided that a wider definition of scholarship as defined by the Carnegie Foundation in “**Scholarship Reconsidered: Priorities of the Professoriate**”² should continue to be adopted in the RAE 2014 as a guiding reference. In the report, the Carnegie Foundation argues that scholarship should have a broader and more efficacious meaning that would go beyond just teaching and research. The discovery of knowledge through research, the integration of knowledge, the application of knowledge and the sharing of knowledge through teaching should be treated as different forms of scholarship on a par with each other.

The Four Scholarships

2. The Carnegie Foundation considers that there is a more inclusive view of what it means to be a scholar - a recognition that knowledge is acquired through research, synthesis, practice, and teaching. Scholarship should comprise four separate, yet overlapping functions: They are the scholarship of discovery; the scholarship of integration; the scholarship of application; and the scholarship of teaching.

(a) Scholarship of Discovery

The scholarship of discovery, at its best, contributes not only to the stock of human knowledge but also to the intellectual climate of an institution. It is a scholarly investigation, closest to what is meant when academics speak of “research”, that confronts the unknown and creates new knowledge. It is not just the outcomes, but also the process, and especially the passion, that gives meaning to the effort.

(b) Scholarship of Integration

It is a serious, disciplined work that seeks to interpret, draw together and bring new insight to bear on original research. This type of scholarship is closely related to that of discovery. Such work is increasingly important as traditional disciplinary categories prove confining, forcing new topologies of knowledge. This scholarship also means interpretation, fitting one’s own research – or the research of others – into larger intellectual patterns. A variety of scholarly trends – interdisciplinary, interpretive, integrative – are examples of scholarship of integration.

(c) Scholarship of Application

It is a dynamic process of creating new intellectual understandings arising out of theory and practice. The term itself may be misleading if it suggests that knowledge is first “discovered” and then “applied”. The process is in fact more dynamic; new intellectual understanding can arise out of vital interaction between theory and practice and one renews the other.

² A Special Report of the Carnegie Foundation for the Advancement of Teaching, by Ernest L Boyer, 1990

(d) Scholarship of Teaching

It is a process that transforms and extends knowledge while transmitting an intelligible account of knowledge to the learners. As a form of scholarship, teaching encompasses a wide range of activities beyond classroom instruction.

Assessment of Scholarship

3. The broadening of the definition of scholarship helps ensure that scholarly work in areas both within and outside discovery can be appropriately recognized and rewarded, yet it does not seek to open the floodgate by treating anything as scholarship. This leads to the question of how the work should be documented and the criteria that should be used to assess its quality.

4. Academics feel relatively confident about their ability to assess specialized research, but they are less certain about what qualities to look for in other kinds of scholarship, and how to document and reward that work. In “Scholarship Assessed: Evaluation of the Professoriate”³, the authors suggest that the four kinds of scholarly activities, regardless of how variable their products, must be evaluated according to a common set of criteria (referred to as ‘quality standards of excellence’ in the publication set out in footnote 2) that captures and acknowledges what they share as scholarly acts. They are:

- clear goals;
- adequate preparation;
- appropriate methods;
- significant results;
- effective presentation; and
- reflective critique.

5. The authors of the book also suggest a list of questions (see below) for each criterion to be considered when assessing a scholar’s achievements in a particular category of scholarship. In return, scholars should also take into account these guiding questions when preparing their work for evaluation :

- (a) For clear goals, the possible questions include whether the scholar states the basic purposes of his or her work clearly; whether the objectives are realistic and achievable; and whether he or she identifies important questions in the field.
- (b) For adequate preparation, the possible questions include whether the scholar shows an understanding of existing scholarship in the field; whether the necessary skills are brought to his or her work; and whether the necessary resources are brought together to move the project forward.
- (c) For appropriate methods, the possible questions include whether the scholar uses methods appropriate to the goals; whether they apply methods effectively; and

³ A Special Report of the Carnegie Foundation for the Advancement of Teaching, by Charles E Glassick, Mary Taylor Huber, and Gene I. Maeroff, 1997

whether they are ready to modify procedures in response to changing circumstances.

- (d) For significant results, the possible questions include whether the scholar actually achieves the goals he or she was aiming for; whether the scholar's work adds consequentially to the field; and whether the scholar's work opens additional areas for further exploration.
- (e) For effective presentation, the possible questions include whether the scholar uses a suitable style and effective organization to present his or her work; whether they use appropriate forums for communicating work to intended audiences; and whether the scholar presents his or her message in all of these forms with clarity and integrity.
- (f) For reflective critique, the possible questions include whether the scholar critically evaluates his or her own work; and whether they bring an appropriate breadth of evidence to their critique. For instance, do they talk to other people, to their peers, to their students, to their clients, and does the scholar use evaluation to improve the quality of their future work?

6. If a particular piece of work is going to be evaluated as scholarship, an important and critical audience of the scholar is his or her peers. In other words, the work would not be considered as a form of scholarship until it has been documented and could be exchanged in a generalisable way so that people beyond the very local context can learn from, can critique and can build on that knowledge. For example, an interesting piece of teaching material used in a class can at most be considered a scholarly work, as it is only presented in a private encounter between a teacher and a group of students. It will not be considered a work of scholarship of teaching unless it is systematically documented and disseminated to peers of the relevant field for wider debate and exchanges. In short, the six criteria set out in paragraph 5 above will form the basis on which the respective panels would evaluate the output in a particular category of scholarship. In order to be evaluated, outputs should be properly documented to produce evidence and the panels will seek to measure the impact on the basis of benchmark to be operationalised later.

7. To summarize, the quality dimensions proposed above allow sufficient flexibility for the same set of criteria to be applied judiciously to different types of projects from different disciplinary traditions, while enabling one to keep in view the qualities that discovery, integration, application and teaching share as scholarly activities.

Research Assessment Exercise 2014

Institution's Research Strategy Statement

(Maximum length and prescribed format: two A4 pages, excluding specified attachments in one A4 page each, 12 point fonts in Times New Roman, single-line spacing, one inch (or 2.54 cm) margin all round)

Institution: _____

I. Institution's existing research policy

In view of my institution's role statement attached (institution to provide from UGC documents), and stage of development of my institution, the current research policy of my institution is as follows:

II. Research funding sources

My institution derives funding for research from the following sources, and the breakdown by funding source as a percentage total of overall funding is as follows:

III. Distribution of research efforts

Based on my institution's research strategy, the research focus areas and the distribution of research activities across research areas is as follows:

(Where appropriate) Distribution across disciplines is as follows:

IV. Research strengths and overall research strategy

In the RAE 2006, my institution's scores by cost centre were as attached.

Institution's existing strengths and standard:

In the long run, the overall research strategy of the institution is:

Signature: _____

Name: _____

Post: _____

Institution: _____

Date: _____

(to be signed by the Head/ Deputy Head of the Institution)

Research Assessment Exercise 2014

List of Cost Centres
for academic departments etc.

1	clinical medicine	33	computer studies/science (incl. information technology (IT))
2	clinical dentistry		
3	clinical veterinary studies	34	law
4	nursing	35	accountancy
5	other health care professions	36	political science (incl. public policy & administration & international relations)
6	biological sciences		
7	pre-clinical studies	37	business
8	psychology	39	hotel management & tourism
9	other biological sciences (incl. environmental biology)	40	economics
		41	geography
10	agriculture & food science	42	social work
11	physics & astronomy	43	other social studies
12	chemistry	44	Chinese language & literature
13	materials science	45	English language & literature
14	earth sciences (incl. oceanography, meteorology)	48	translation
		49	communications & media studies
15	other physical sciences (incl. environmental science)	50	history
		51	other arts/humanities
16	mechanical engineering	52	visual arts
17	electrical engineering	53	performing arts
18	electronic engineering	54	music
19	chemical engineering	55	other creative arts
20	production engineering (incl. manufacturing & industrial engineering)	56	design
		58	physical education & sports science
21	marine engineering	60	Chinese medicine
22	biotechnology	61	sociology & anthropology
23	materials technology	62	optometry
24	textile technology	63	rehabilitation sciences
25	civil engineering (incl. construction engineering & management)	64	creative media
		65	biomedical engineering
26	other technologies (incl. environmental engineering & nautical studies)	66	finance
		67	area studies (e.g. Japanese studies, European studies, etc.)
27	architecture	68	philosophy & religious studies
28	building technology	69	linguistics & language studies
29	planning	70	cultural studies
30	surveying, land	71	curriculum & instruction
31	surveying, other	72	education administration & policy
32	mathematics & statistics	73	other education

Note: Subsequent to the consultation with institutions on the mapping of cost centres for the RAE 2014, previous cost centres (number 38, 46, 47, 57, 59) become obsolete.

Research Assessment Exercise 2014

Cost Centre's Research Strategy Statement and Summary of Research Activities

(Maximum length and prescribed format: two A4 pages, 12 point fonts in Times New Roman, single-line spacing, one inch (or 2.54 cm) margin all round)

Institution: _____

Cost Centre: _____ (code number and description)

Total number of eligible staff in the cost centre: _____
(as defined in paragraphs 4.1 to 4.6
of the Guidance Notes)

I. Research Strategy Statement

During the assessment period, the cost centre's research strategy was as follows:

II. Research Portfolio

Research activities in the cost centre during the same period were as follows:

Signature: _____

Name: _____

Post: _____

Institution: _____

Date: _____

(to be signed by the institutional
representative of the cost centre)

**Description of Academic Staff Grades
“A” to “I”**

Academic, Senior

- A. Professor
- B. Reader
- C. Senior Lecturer (U)
- D. Principal Lecturer (P)

Academic, Junior

- F. Senior Lecturer (P)
- G. Lecturer (U)
- H. Lecturer (P)
- I. Assistant Lecturer

Panels in the RAE 2014

Cost Centre		Panel Title	Panel No.
6 9 10 22	biological sciences other biological sciences (incl. environmental biology) agriculture & food science biotechnology	Biology	1
1 2 3 4 5 7 60 62 63	clinical medicine clinical dentistry clinical veterinary studies nursing other health care professions pre-clinical studies Chinese medicine optometry rehabilitation sciences	Health Sciences	2
11 12 13 14 15 32	physics & astronomy chemistry materials science earth sciences (incl. oceanography, meteorology) other physical sciences (incl. environmental science) mathematics & statistics	Physical Sciences	3
17 18	electrical engineering electronic engineering	Electrical & Electronic Engineering	4
33	computer studies/science (incl. information technology (IT))	Computer Science / Information Technology	5
16 19 20 21 23 24 26 65	mechanical engineering chemical engineering production engineering (incl. manufacturing & industrial engineering) marine engineering materials technology textile technology other technologies (incl. environmental engineering & nautical studies) biomedical engineering	Engineering	6
25 27 28 29 30 31	civil engineering (incl. construction engineering & management) architecture building technology planning surveying, land surveying, other	Built Environment	7
34	law	Law	8

Cost Centre		Panel Title	Panel No.
35 37 39 40 66	accountancy business hotel management & tourism economics finance	Business & Economics	9
8 36 41 42 61 43 49	psychology political science (incl. public policy & administration & international relations) geography social work sociology & anthropology other social studies communications & media studies	Social Sciences	10
44 45 48 50 51 67 68 69 70	Chinese language & literature English language & literature translation history other arts/humanities area studies (e.g. Japanese studies, European studies, etc.) philosophy & religious studies linguistics & language studies cultural studies	Humanities	11
52 53 54 55 56 64	visual arts performing arts music other creative arts design creative media	Creative Arts, Performing Arts & Design	12
58 71 72 73	physical education & sports science curriculum & instruction education administration & policy other education	Education	13

Research Assessment Exercise 2014

External Competitive Peer-Reviewed Research Grants Received

Institution: _____

Cost Centre: _____ (code and description)

Number of eligible staff in the cost centre as at census date of 30 September 2013: _____

Academic year	External competitive peer-reviewed research funding received (\$HK) ⁽¹⁾				
	UGC/RGC	Other Hong Kong government funding ⁽²⁾	Hong Kong-based non-government sources	Outside Hong Kong	Total
2007/08					
2008/09					
2009/10					
2010/11					
2011/12					
2012/13					
Overall total					
Overall total per eligible staff (number of staff is as at census date)					

(1) See section (VII)(B) of the Guidance Notes.

(2) As Public Policy Research and Strategic Public Policy Research are funded by the Central Policy Unit of the Government, the funding received under these two schemes should be included under “other Hong Kong government funding”.

Attachment to Appendix G

Institution: _____

Cost Centre: _____ (code and description)

- (a) Total number of UGC/RGC projects funded by the UGC/RGC for the period from 2007/08 to 2012/13: _____

Project title	Principal Investigator / Project Coordinator of the Project (Name and Institution ⁽¹⁾)	Duration	Total award amount (\$)	Percentage of award to cost centre

- (b) Total number of projects funded by other Hong Kong Government departments for the period from 2007/08 to 2012/13: _____

Funding body	Project title	Principal Investigator / Project Coordinator of the Project (Name and Institution ⁽¹⁾)	Duration	Total award amount (\$)	Percentage of award to cost centre

- (c) Total number of projects funded by Hong Kong based non-government bodies for the period from 2007/08 to 2012/13: _____

Funding body	Project title	Principal Investigator / Project Coordinator of the Project (Name and Institution ⁽¹⁾)	Duration	Total award amount (\$)	Percentage of award to cost centre

Attachment to Appendix G
(continued)

- (d) Total number of projects funded by bodies outside Hong Kong for the period from 2007/08 to 2012/13: _____

Funding body	Project title	Principal Investigator / Project Coordinator of the Project (Name and Institution ⁽¹⁾)	Duration	Total award amount (\$)	Percentage of award to cost centre

- (1) Please state the Principal Investigator / Project Coordinator's current institution as at census date on 30 September 2013 and his/her affiliated institution during the project duration if different from the current institution.
- (2) The maximum total number of grants to be listed in this attachment (i.e. (a) + (b) + (c) + (d)) should be no more than two times the total number of eligible staff members in the cost centre, or 20 for a cost centre with eligible staff members below 10.)

Research Assessment Exercise 2014

Submission on Esteem Measures

Institution: _____

Cost Centre: _____ (code and description)

Number of eligible staff in the cost centre as at census date of 30 September 2013: _____

Period covered: from 1 October 2007 to 30 September 2013

Esteem measures relating to individual academics (list up to 4 items for each academic):

Name of academic	Esteem measures ⁽¹⁾ (maximum 20 words per measure)

(a): Total number of individual esteem measures: _____

Esteem measures relating to a group of researchers or to the cost centres as a whole:

Serial Number	Esteem measures ⁽¹⁾ (maximum 50 words per measure)
1	
2	
3	

(b): Total number of group esteem measures: _____
where (a) + (b) should not be greater than two times the number of eligible staff in the cost centre

⁽¹⁾ Each separate item of esteem measures should cover a single incidence.

Research Assessment Exercise 2014

Quality Profile of a Cost Centre

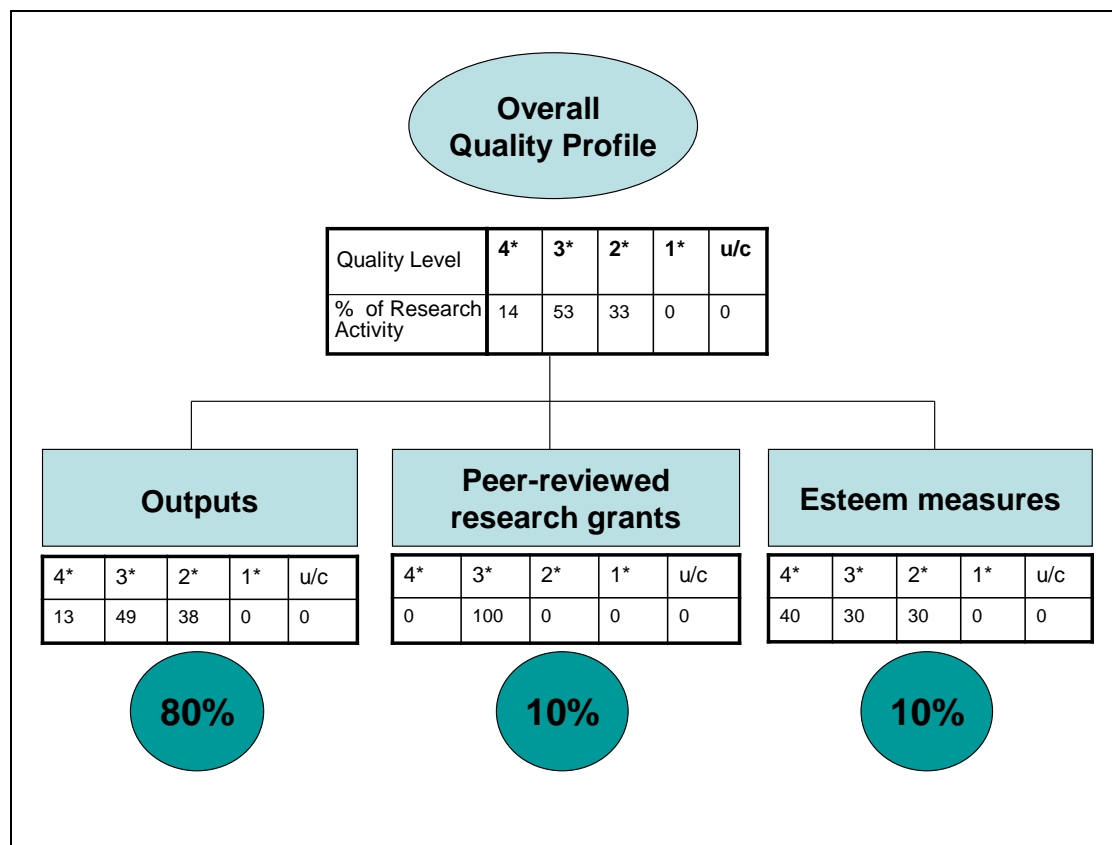
1. The overall quality profile will show the proportion of research activity in a cost centre judged to meet the definitions at each starred level. The overall quality profile will be published in steps of 1 per cent. The following table shows the overall quality profiles of two institutions under the same cost centre.

Cost centre A	Number of eligible staff	Percentage of research activity judged to meet the standard for:				
		4 star	3 star	2 star	1 star	unclassified
Institution X	40	18	41	25	16	0
Institution Y	60	12	32	45	10	1

2. A Panel will produce an overall quality profile by assessing three distinct elements of the assessment – research outputs, peer-reviewed research grants and esteem measures – to produce a sub-profile for each element. The three sub-profiles will be aggregated to form the overall quality profile for the cost centre, with each element weighted as follows (assuming that the Panel has split the 20% weighting equally between competitive peer-reviewed research grants and esteem measures):

- Outputs: 80 per cent
- External competitive peer-reviewed research grants: 10 per cent
- Esteem measures: 10 per cent.

Figure 1: Building a quality profile: a worked example



Rounding

3. The sub-profiles will be combined using the weights in paragraph 2 of this appendix. A cumulative rounding process will then be applied to the combined profile, to produce an overall quality profile. This methodology will ensure that the overall quality profile for any submission will always sum to 100 per cent.

4. Using the example in Figure 1, first calculate the initial overall profile, that is, the sum of the weighted sub-profiles for outputs, grants and esteem measures.

	Starred levels				
	4*	3*	2*	1*	u/c
Outputs	13	49	38	0	0
Peer-reviewed research grants	0	100	0	0	0
Esteem measures	40	30	30	0	0
Weighted					
80%	10.4	39.2	30.4	0	0
10%	0	10.0	0	0	0
10%	4.0	3.0	3.0	0	0
Initial profile	14.4	52.2	33.4	0	0

5. Cumulative rounding works in three stages:

(a) The initial profile is:

4*	3*	2*	1*	u/c
14.4	52.2	33.4	0	0

(b) Stage 1: Calculate the cumulative totals (for example the cumulative total at 3* or better is $52.2 + 14.4 = 66.6$).

4*	3* or better	2* or better	1* or better	u/c or better
14.4	66.6	100	100	100

(c) Stage 2: Round these to the nearest 1 per cent (rounding up if the percentage ends in exactly 0.5).

4*	3* or better	2* or better	1* or better	u/c or better
14	67	100	100	100

(d) Stage 3: Find the differences between successive cells to give the rounded profile. So, for example, the percentage allocated to 2* is the difference between the cumulative total at 2* or better, minus the cumulative total at 3* or better.

4*	3*	2*	1*	u/c
14	53	33	0	0