



Research Assessment Exercise 2020

2018 Summer Event

Open Forum

Assessment Guidelines

RAE 2020 Overview

- Expert review exercise using *international benchmarks* to assess the research quality of universities and delineate their areas of relative strengths
- 13 assessment panels to conduct the expert review of submissions on *research outputs*, *impact* and *environment*
- About 210 submitting units and 4 960 academic staff eligible for making submission as of 1 Nov 2017

RAE 2020

Elements of assessment

- **Impact** – *range of impact, types of evidence, basis of evaluation*
- **Environment** – *aspects within environment, basis of evaluation*
- **Outputs** – *general guidance*

RAE 2020 Range of Impact

Wide range of impact areas beyond academia, taking Arts and Humanities as an example

1. Generating *new ways of thinking* that *influence creative practice*
2. Creating, inspiring and supporting *new forms of artistic, literary, linguistic, social, economic, religious, and other expression*
3. Contributing to innovation and entrepreneurial activity through the *design and delivery of new products or services*

RAE 2020 Range of Impact

Further examples:

4. Contributing to *economic prosperity via the creative sector* including publishing, music, theatre, museums and galleries, film and television, fashion, tourism, and computer games
5. Informing or *influencing practice or policy* as a result of research on the nature and extent of religious, sexual, ethnic or linguistic discrimination

RAE2020 Range of Impact

Further examples:

6. Research into the languages and cultures of minority linguistic, ethnic, religious, immigrant, cultures and communities *used by government, NGOs, charities or private sector* to understand and respond to their needs
7. Helping professionals and organisations adapt to changing *cultural values*
8. Contributing to continuing *personal and professional development*

RAE2020 Range of Impact

Further examples:

9. Preserving, conserving, and presenting *cultural heritage*
10. Influencing the *design and delivery of curriculum and syllabi in schools or other educational institutions* where the impact extends significantly beyond the submitting university, for example through the widespread use of text books, primary sources or an IT resource in education

RAE 2020 Range of Impact

Further examples:

11. Developing *stimuli to tourism* and contributing to the quality of the tourist experience
12. Contributing to processes of commemoration, memorialisation and reconciliation
13. Contributing to a *wider public understanding* of basic standards of wellbeing and human rights conceptions

RAE 2020 Range of Impact

Further examples:

14. Informing or influencing the *development of expert systems* in areas such as medicine, human resources, accounting, and financial services
15. Influencing the *methods, ideas or ethics of any profession*
16. Providing *expert advice* to governments, NGOs, charities and the private sector *locally and internationally*, and thereby influencing policy and/or practice.

RAE 2020 Evidence of Impact

Types of supporting evidence to demonstrate impact

- ***Quantitative indicators*** – publication and sales figures, funding, tourism data, generation of new products
- ***Critiques or citations in users documents*** – citations in reviews outside academic literature, uptake of research in documents
- ***Public engagement*** – media coverage, downloads of linked resources, access web count

RAE 2020 Evidence of Impact

Types of supporting evidence to demonstrate impact

- ***Policy engagements*** – influence on public policy debate and practice, formal partnership agreement
- ***Independent testimony*** – acknowledgement in publications, testimony of experts or third party
- ***Formal evaluations*** – professional evaluation, formal peer review

REF 01.2012, *Panel criteria and working methods*, January 2012, Main Panel D (Arts and Humanities)
https://www.ref.ac.uk/2014/media/ref/content/pub/panelcriteriaandworkingmethods/01_12.pdf

Areas where impact is found - UK REF 2014 as an example

Figure 4: Disciplinary ‘hot spots’ that underpinned the 60 impact topics from Wales’s REF 2014 impact submissions (n=273)

The Policy Institute, King’s College London: *Impacts of academic research from Welsh universities*, May 2017
<https://www.kcl.ac.uk/sspp/policy-institute/publications/The-impacts-of-academic-research-from-Welsh-universities.pdf>

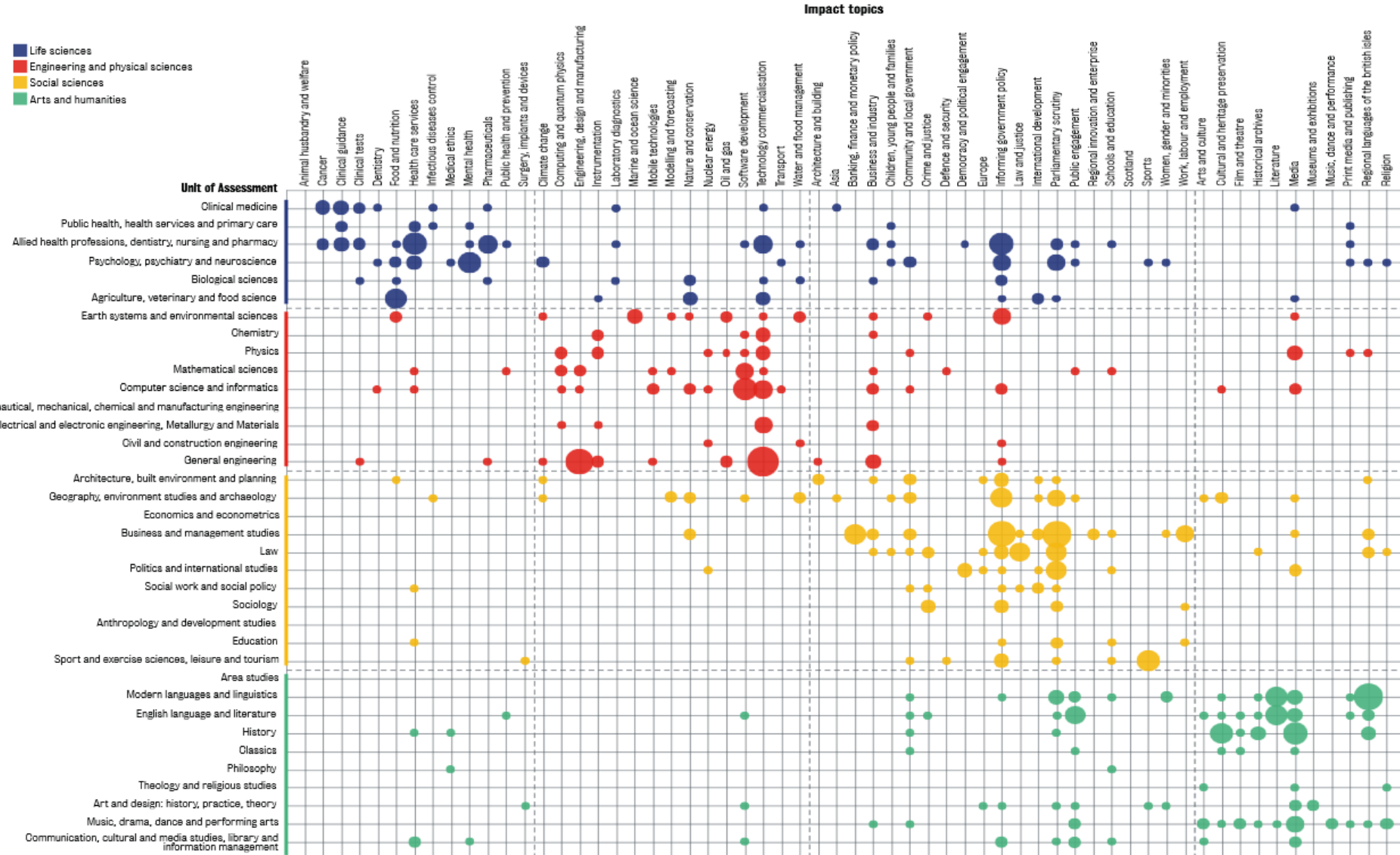
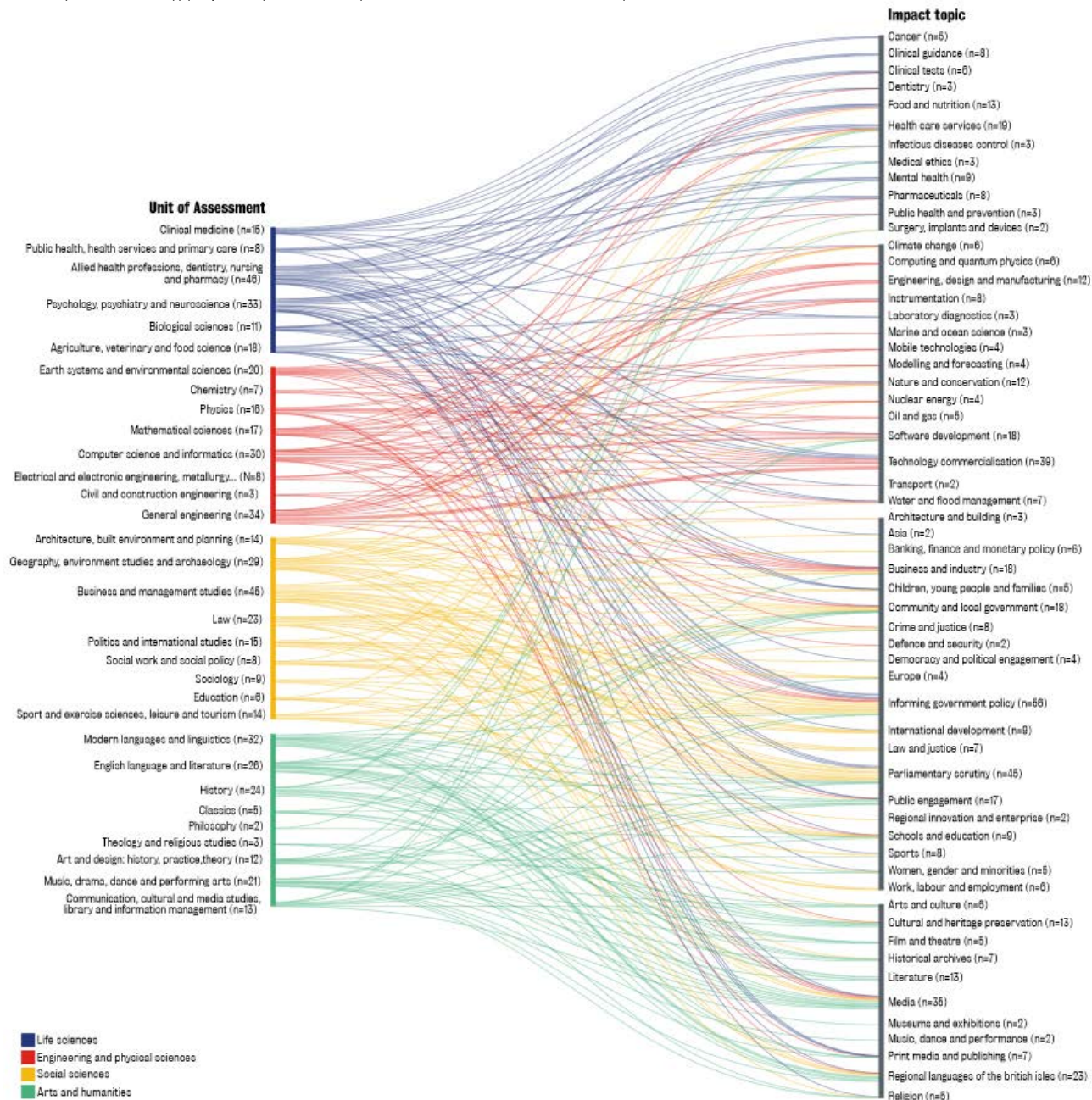


Figure 5: Alluvial connectivity linking UoA to impact topic

The Policy Institute, King's College London: *Impacts of academic research from Welsh universities*, May 2017
<https://www.kcl.ac.uk/sspp/policy-institute/publications/The-impacts-of-academic-research-from-Welsh-universities.pdf>



RAE 2020 Assessing Impact

Basis of evaluating impact –

- impact must be *enabled*, *generated* or *substantially supported* by the submitting university during the assessment period, 1 Oct 2013 to 30 Sep 2019
- *underpinned by research undertaken at*, or *significantly supported by*, the submitting university during 1 Jan 2000 to 30 Sep 2019

RAE 2020 Assessing Impact

Basis of evaluating impact –

- the submitting unit/university is to present *how it made a distinct and material contribution* to the impact in the assessment period
- such that the impact would not have occurred or would have been significantly reduced without the contribution of research

RAE 2020 Aspects of Environment

- **Strategy** – *achievement of strategic aims, future strategic plan*
- **People** – *including staff (eligible and non-eligible) and research postgraduate students*
- **Income** – *overall view of research income, with data on ongoing research grants/contracts*
- **Infrastructure** – *facilities for carrying out research*

RAE 2020 Aspects of Environment

- ***Collaborations*** – local, international, intra-university, inter-disciplinary
- ***Esteem*** – recognition conferred by a body outside the university
- ***Contribution to the discipline or research base***

RAE 2020 Assessing Environment

- Universities to show what they do to ensure a good environment, as scale alone does not inevitably entail a good environment
- Panels to assess the merits of submission within the context of information provided, and the context of respective disciplines
- No discounting/crediting factor arising from career stage, staff profile, size, histories of individual universities/units

RAE 2020 Assessing Outputs

- Panels to exercise professional judgement, pitching at the *best international norms* and the standards of scholarship expected internationally in the disciplines
- Not to adopt a mechanical approach during assessment
- Citation data/metrics, if used as secondary information, should be specified in the panel-specific guidelines for universities' information

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Thank you!