



Research Assessment Exercise 2020

**2018 Summer Event
Open Forum
Overview**

RAE 2020

- Part of UGC's commitment to assessing universities' research performance
- Sixth such exercise to assess the quality of research using *international benchmarks*
- Encourage world-class research and drive *excellence*
- Inform the allocation of part of the research portion of recurrent block grants in a publicly accountable manner

RAE 2020 Major Principles

- ***International standards***: Criterion-referenced against international standards of research excellence
- ***Fairness***: Quality of submission judged on its own merit, all types of research treated equally
- ***Consistency***: Expert review applying the same quality standards across and within panels
- ***Inclusiveness***: Measures the quality of a broad range of research
- ***Differentiation***: Measures research quality of universities by unit of assessment, not individual staff, in a comparable discipline

RAE 2020 Assessment Elements

- New elements of research assessment on impact and environment
 - **Research outputs (70%)**
 - **Impact (15%)** – incentivise conduct of research of broader social relevance with high economic and social benefit
 - **Environment (15%)** – assess how universities' strategy, resources and infrastructure support research

RAE 2020 Assessment Period

- ***Census date***: 30 September 2019
- ***Assessment period*** of six years for research outputs, impact and environment
 - **1 October 2013 to 30 September 2019**
- Period of about 20 years for underpinning research of impact cases
 - **1 January 2000 to 30 September 2019**

RAE 2020 Assessment Panels

- *13 RAE panels*
- *41 units of assessment* (UoAs)
- Total panel size around 360 (20% increase)
- Majority (about 70%) of panel membership including Convenors and Deputy Convenors will be non-local from outside Hong Kong

RAE 2020 Staff Eligibility

- Academics from *Professor* to *Assistant Lecturer*
- Full-time paid appointment, wholly funded by the university proper, for a continuous period of at least *36-month covering the census date 30 September 2019*
- Employment starts *no later than 1 September 2017*
- Special consideration/exemption may be granted on exceptional/compassionate ground

RAE 2020 Research Outputs

- Four research outputs per eligible academic
- Staff granted with special consideration/ exemption may reduce item(s)
- New researchers may submit fewer item(s) (first full-time appointment within 50 months before census date)
- Inter-disciplinary / Non-traditional / Non-English outputs to be indicated by universities
- Double-weighting of outputs may be requested

RAE 2020 Research Impact

- **Definition:**
 - *demonstrable contributions, beneficial effects, valuable changes* or *advantages*
 - that research qualitatively brings to the *economy, society, culture, public policy* or *services, health, the environment* or *quality of life*
 - whether locally, regionally or internationally; and that are beyond academia

RAE 2020 Research Environment

- **Definition:**
 - *strategy*, resources (e.g. *grants obtained*, *people*) and *infrastructure* that support research
 - giving rise to *collaborations*, *esteem* and *contributions to the discipline or research base*
 - may relate to a single coherent faculty, and equally to multiple departments

RAE 2020 Assessment Results

- *Overall quality profiles* and *sub-profiles of individual elements of assessment* will be published by UoA and by panel at university level and sector-wide level
- Same set of results will be released to universities and the public
- *Results in respect of research outputs at research area level* will be provided to universities under confidential cover
- *Impact submissions of universities* will be made public after release of results

RAE 2020 Submissions

- **31 July 2019:** requests for special consideration/ exemption for individual staff members
- **2 December 2019:** list of eligible staff and list of non-eligible full-time academic staff
- **16 December 2019:**
 - university's research strategy statement
 - research outputs (full version and details)
 - impact (overview statements and case studies)
 - environment (overview statements and data)

RAE 2020 Work Plan

- **Sep 2018:** *Announcement of General Panel Guidelines and Panel-specific Guidelines on Assessment Criteria and Working Methods*
- 30 Sept 2019: Census date
- 16 Dec 2019: Submissions by universities
- Jan-Feb 2020: Trial assessment
- Mar-Jul/Aug 2020: Assessment of submissions
- Aug-Sept 2020: Panel meetings
- Nov 2020: Panel feedback reports
- Jan 2021: Approval and announcement of RAE results

RAE 2020

Thank you