

The UK's European university

Impact and Knowledge Exchange in an Evolving Research Environment



Approaches to Facilitating Research Impact



UNIVERSITY OF OXFORD

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*Simon Kerridge
Director of Research Services,
University of Kent*



orcid.org/0000-0003-4094-3719



@SimonRKerridge #REF2020

Chair, ARMA

The Association of Research
Managers and Administrators



Overview

- A (very) little bit about me
- An overview of Kent
- A little (bit more) about ARMA

- A brief history of Impact
- What is Impact
- Why is it important
- Impact in REF2014
- Impact for REF2020

- And finally...
- Approaches to Facilitating Impact

To help understand my context

I'm Simon Kerridge, Director of Research Services, University of Kent

I am also chair of the UK Association of Research Managers and Administrators, the professional body that represents our 2,680 members based mainly in the UK but from across 35 countries.

I was originally a computer scientist, spent a couple of years not being Bill Gates and returned to academia to be a researcher, initially at Durham and then at Sunderland, including being PI on an EU project. I spent some time on the borders of reality as a researcher and as a research manager and administrator, the latter is a more secure profession ..., and have been doing that ever since.

My current 'projects' include: open access, identifiers, standards, metrics, systems, interoperability... and of course **IMPACT**.

And thanks to Alis for the invitation!

Overview of (from) Kent



University of Kent

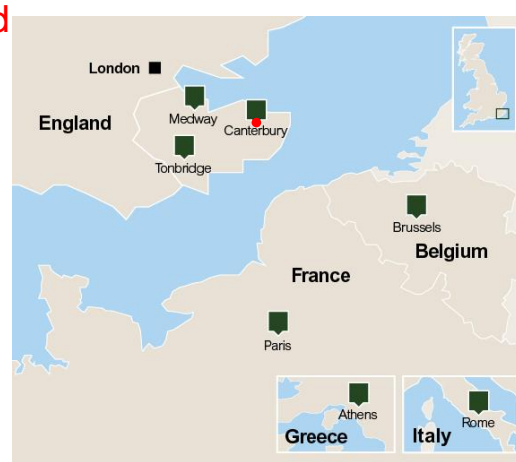


- **50th Anniversary**

- 19,275 students
- 3,152 staff (728+145)
- £200m turnover
- £14m research income + £14m QR
- Canterbury, Medway, Tonbridge, Brussels
 - Paris, Athens, Rome
- 17th for Research Intensity, 16th for Teaching Quality
- Queen's Anniversary prize for Tizard Centre
- Top 100 under 50 (THE)



University of Kent



Canterbury (1965)



Medway (2005)



Tonbridge (1982)



Brussels (1999)



Paris (2009)



Athens (2011)



Rome (2013)



So what is ARMA? I hear you ask



2,680 Members

from 253 organisations across 35 countries

25th Anniversary year – conference in Brighton... over 700 there!

Birmingham next year (6-8 June)

32 events delivered to 1,275 delegates last year, plus Webinars

VISTAS and *The Protagonist* and eNews letters

Mentoring, Joan Hughes Bursary Scheme, Awards

Website, Resource Library

Professional Qualifications (136 currently studying):

CRA: 3rd cohort recruiting, SARIMA to follow

CRM: also Funder, EARMA and CARA variants

CLRM: (& diploma) starting this year



INORMS 2018 in Edinburgh
(4-7 June)



inorms

Global Pathways to Professional Recognition
Edinburgh 2018

University of
Kent



ARMA Professional Development

21 areas in 7 groups

Operational, management, and leadership perspectives

Aims, activities, knowledge, skills, and behaviours



ARMA Certification



International framework – professional qualification (ATHE)

Certificate in Research Administration

240 hours over 2 years (level 3) (*UK/Ca*)

Certificate in Research Management (*UK/EU/Funder/Ca*)

180 hours over 18 months (level 5) [Y1 degree]

Cert / Diploma in the Leadership of Research Management

180 / 430 hours over 18 months (level 7) [masters]

Ad hoc courses, eg:

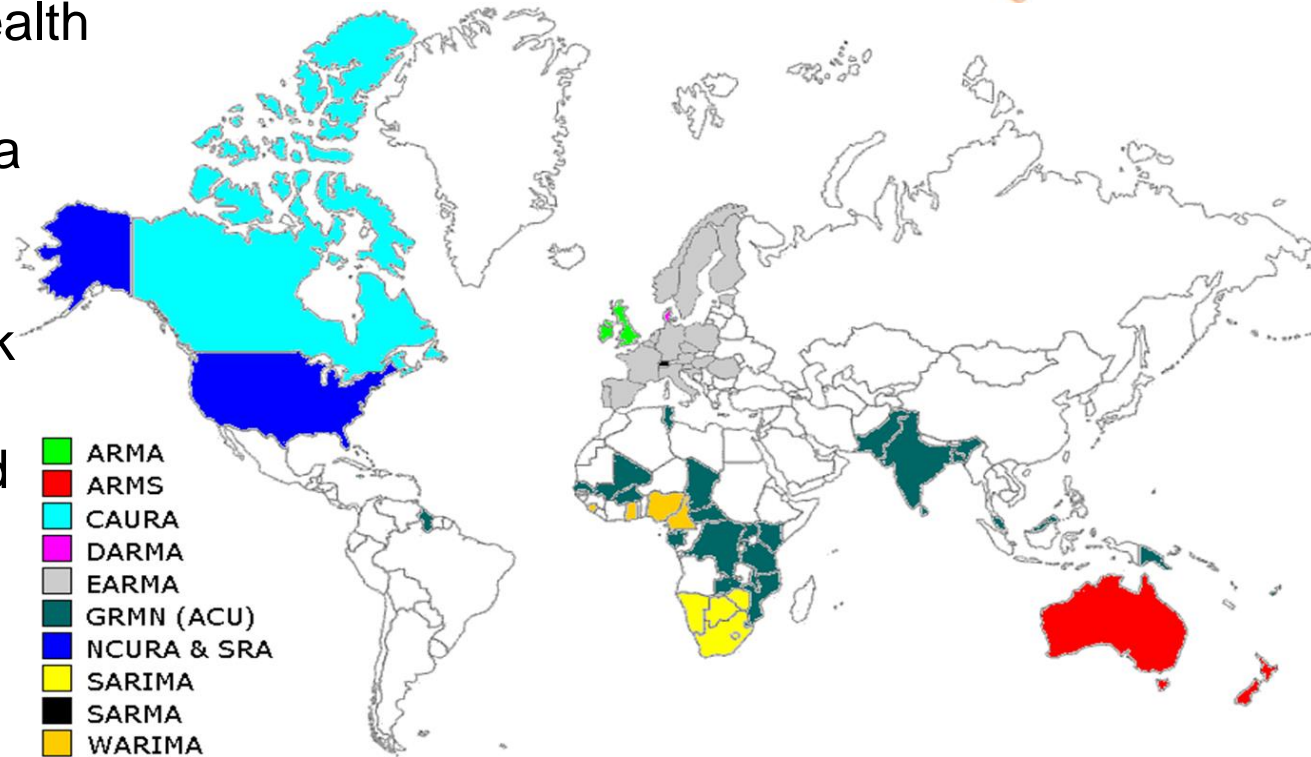
Managing Impact post-REF (1st Oct)

Routes to Impact (20th Oct)



INORMS

- ACU, Commonwealth
- ARMA, UK
- ARMS, Australasia
- BrARMA, Brazil
- CARA, Canada
- DARMA, Denmark
- EARMA, Europe
- FinARMA, Finland
- IceARMA, Iceland
- NARMA, Norway*
- NCURA, USA
- PrU, UK
- SARIMA, Southern Africa
- SARMA, Sweden
- SRA, USA
- WARIMA, Western Africa



A brief history of impact

Very brief...

Notwithstanding that we did not know that we needed to 'do impact' before half way through the REF2014 period...

We all were, of course.

Not many academics do not want their research to 'make a difference'

Oh yes and we did already have RCUK *Pathways to Impact*

And thinking back about 20 years, the ROPA scheme

A recent timeline

- 2006 - Warry Report recommended Research Councils (RCUK) demonstrate their economic impact
- 2008 – ‘Impact Plans’ first included on grant applications
- 2009 – ‘Impact Plans’ become ‘Pathways to Impact’
- 2009 – First proposals to include impact in REF
- 2010 – Pilot of impact case studies for REF
- 2011 onwards – Impact confirmed as part of REF
Impact continues to be important to RCUK
- 2013 – RCUK Centres submit impact for evaluation
- 2014 – Increased emphasis on impact in H2020
- 2015 – REF Impact Case Studies Published

What is impact

- “a marked effect or influence” *[OED]*
- “the changes that can be attributed to a particular intervention, such as a project, program or policy, both the intended ones, as well as ideally the unintended ones” *[Wikipedia]*
- RCUK and H2020 inclusive definition
- REF excludes academic (research) impact
 - That is what the Outputs (REF2) and Environment Template (REF5e) are for...

Research Impact:

'the demonstrable contribution that excellent research makes to society and the economy' [RCUK].

'For the purposes of the REF, impact is defined as an effect on, change or benefit to the economy, society, culture, public policy or services, health, the environment or quality of life, beyond academia' [HEFCE]

Research Impact:

'the **demonstrable** contribution that **excellent research** makes to society and the economy' [RCUK].

'For the purposes of the REF, impact is defined as an **effect on, change or benefit** to the economy, society, culture, public policy or services, health, the environment or quality of life, **beyond academia**' [HEFCE]

NOT dissemination

REF Impact IS:

Underpinned by Excellent research conducted at **your** HEI

A **change** in something beyond academia eg:

- Change in policy
- Increased effectiveness of.....
- Improved wellbeing of....
- Reduced costs...
- Improved sales.....

Demonstrated with evidence

“Because we did X, there was a change in Y”

Significance and reach

REF Impact IS NOT:

Dissemination

Visibility or attention

- eg. media presence

The pathway

- Engagement is needed to get impact, but is not impact in itself

Prioritised over Excellence

Separate to research

- Unless it is directly underpinned by Excellent research, it will not count for REF
- *NB consultancy and Knowledge Exchange can support translating research into impact*

Why is it important?

- 6,975 reasons
- Showing the value of research to BIS
- Showing the ‘value’ of research to Joe Public
 - Including philanthropic benefactors...
- Helping academics think more about the end product
- Valuing those that do the ‘translation’
- Enabling more (or hopefully not less) funds for research
- Because surely, it is the whole point of research...
... eventually

Research Impact – rewind and a bit more detail

Things that happen as a result of research

1. Used in other research (academic impact)
2. Other stuff (non-academic impact) **[REF impact]**

The sub-panels will assess the ‘reach and significance’ of impacts on the economy, society and/or culture that were underpinned by excellent research conducted in the submitted unit, as well as the submitted unit’s approach to enabling impact from its research.*

**later explicitly broadened*

Definition of impact for the REF

- An effect on, change or benefit to the economy, society, culture, public policy or services, health, the environment or quality of life, beyond academia
- Impact **includes** an effect, change or benefit to:
 - The activity, attitude, awareness, behaviour, capacity, opportunity, performance, policy, practice, process or understanding
 - Of an audience, beneficiary, community, constituency, organisation or individuals
 - In any geographic location whether locally, regionally, nationally or internationally
- It **excludes** impacts on research or the advancement of academic knowledge within HE; and impacts on teaching or other activities within the submitting HEI

Range of impacts

- Panels recognise that Impacts can manifest in a wide variety of different ways, may take many forms and occur in a wide range of spheres
- Examples of impact may include:
 - Impacts on public policy and services,
 - Impacts on society, culture and creativity,
 - Impacts on practitioners and services,
 - Impacts on the environment,
 - Impacts on the economy

Examples of impacts: Main Panel A

Impacts on:	For example:
Health and welfare	Patient outcomes have improved
Society, culture and creativity	Public debate has been stimulated
The economy	Costs of healthcare have changed
Commerce	Business performance has improved
Public policy and services	Policy decisions informed by research
Production	Waste levels have reduced
Practitioners and services	Professional standards influenced by research
Environment	Changes to environmental risk management
International development	Quality of life improvements

Range of impacts – Main Panel B

Impacts on:	For example:
The economy	Patient outcomes have improved
Public policy and services	Public debate has been stimulated
Society, culture and creativity	Public engagement in science has been stimulated
Health	Business performance has improved
Practitioners and professional services	Policy decisions informed by research
Environment	Waste levels have reduced

Examples of impacts: Main Panel C

Impacts on:	Examples:
Creativity, culture and society	Enhancements to heritage preservation, conservation and presentation Shaping or informing public attitudes and values
Economy, commerce or organisations	Improved products, processes or workplace practices Enhanced corporate social responsibility policies
Environment	Changes in public awareness or behaviour Business operations have been changed to achieve environmental objectives
Health and welfare	Development of policy or practice with regard to health services or social care provision
Practitioners and professional services	Influence on professional standards, guidelines or training Practitioner debate has been stimulated by research findings
Public policy, law and services	Legislative change or effect on legal practice Influence on policy (by government, NGO or private organisation) Impact on democratic participation or access to justice

Impact:

Examples of impacts: Main Panel D



Impacts on:	Examples:
Civil society	
Cultural life	
Economic prosperity	Design of new products or services
Education	
Policy making	
Public discourse	
Public services	

Submissions

Impact template (REF3a)

- Sets out the submitted unit's general approach to enabling impact from its research
- One template per submission – with a page limit depending on the number of staff submitted
- Covers the period 1 Jan 2008 to 31 Jul 2013
- Contributes 20% to the impact sub-profile

Case studies (REF3b)

- Specific examples of impacts already achieved, that were underpinned by the submitted unit's research
- The number of case studies required depends on the number of staff submitted (1 plus 1 per 10 FTE)
- Impacts during 1 Jan 2008 to 31 Jul 2013; underpinned by research since 1 Jan 1993
- Contributes 80% to the impact sub-profile

Case studies (REF3b)



- In each case study, the impact described must:
 - Meet the REF definition of impact
 - Have occurred between 1 Jan 2008 and 31 July 2013 (can be at any stage of maturity)
 - Be underpinned by excellent research (of at least 2* quality) produced by the submitting unit between 1 January 1993 to 31 December 2013
- Submitted case studies need **not** be representative of activity across the unit: pick the strongest examples

Underpinning research

- Case studies must be underpinned by research produced by the submitted unit that has made a **material and distinct contribution** to the impact
- Case studies must provide evidence that the underpinning research meets the **quality threshold** of at least two star
- HEIs may submit case studies of a **confidential** nature, these may be redacted for publication or not published at all
- HEIs may request advance permission to submit case studies containing **sensitive** material that could only be assessed by individuals with national security clearance

Types of evidence

- Evidence of the nature and extent of the impact, in terms of its **reach** and **significance**, should be provided and may include:
 - Critical reviews in the media,
 - Citation by international bodies,
 - Visitor or audience numbers and feedback
 - Business performance measures, sales, turnover,
 - Documented evidence of change to public policy/legislation/regulations/guidelines
 - Verifiable influence on particular projects or processes which bring benefits

Case studies (REF3b)



- Each case study is limited to 4 pages and must:
 - Describe the underpinning research produced by the submitting unit
 - Reference one or more key outputs and provide evidence of the quality of the research
 - Explain how the research made a 'material and distinct' contribution to the impact (there are many ways in which this may have taken place)
 - Explain and provide evidence of the nature and extent of the impact: Who/what was affected? How were they affected? When?
 - Provide independent sources that could be used to verify claims about the impact (on a sample audit basis)

Assessment criteria

The criteria for assessing impacts are **reach and significance***

Four star	Outstanding impacts in terms of their reach and significance
Three star	Very considerable impacts in terms of their reach and significance
Two star	Considerable impacts in terms of their reach and significance
One star	Recognised but modest impacts in terms of their reach and significance
Unclassified	The impact is of little or no reach and significance; or the impact was not eligible; or the impact was not underpinned by excellent research produced by the submitted unit

* Each main panel provides a descriptive account of the criteria

Impact Case Study Structure

Institution:
Unit of Assessment:
Title of case study:
1. Summary of the impact (indicative maximum 100 words)
2. Underpinning research (indicative maximum 500 words)
3. References to the research (indicative maximum of six references)
4. Details of the impact (indicative maximum 750 words)
5. Sources to corroborate the impact (indicative maximum of 10 references)

Impact Case Study Structure

Institution: <you can't go wrong here>

Unit of Assessment:

Title of case study:

1. Summary of the impact (indicative maximum 100 words)

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Impact Case Study Structure

Institution: <you can't go wrong here>
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Title of case study:
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Impact Case Study Structure

Institution: <you can't go wrong here>
Unit of Assessment: <you can't really go wrong here either>
Title of case study: SNAPPY, INFORMATIVE, COMPELLING, MEMORABLE, begins with 'A'
1. Summary of the impact (indicative maximum 100 words)
2. Underpinning research (indicative maximum 500 words)
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Impact Case Study Structure

Institution: <you can't go wrong here>

Unit of Assessment: <you can't really go wrong here either>

Title of case study: SNAPPY, INFORMATIVE, COMPELLING, MEMORABLE, begins with 'A'

1. Summary of the impact (indicative maximum 100 words)

This is the first impression – it should summarise the IMPACT. There is no need to mention the underpinning research (although it can be tricky to do so without...). So if need be mention the research findings but FOCUS ON THE IMPACT

2. Underpinning research (indicative maximum 500 words)

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2. Underpinning research (indicative maximum 500 words)

This is where you convince the panel that the research was undertaken at your HEI and that it led to the impact that you are claiming in section 4. IT IS NOT WORTH ANY POINTS – but if poorly done can give you unclassified

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3. References to the research (indicative maximum of six references)

This is where you convince the panel that the research was at least 2* and that your HEI make a distinctive contribution. **IT IS NOT WORTH ANY POINTS** – but if the 2* threshold is not made, again you will get unclassified

4. Details of the impact (indicative maximum 750 words)

5. Sources to corroborate the impact (indicative maximum of 10 references)

Impact Case Study Structure

Institution: <you can't go wrong here>

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4. Details of the impact (indicative maximum 750 words)

THIS IS THE IMPORTANT PART. Assuming 2&3 convince the panel that the research (or an important part of it) was done at your HEI, then the threshold is met. **THIS SECTION IS WHAT WILL PRODUCE THE QUALITY RATING.** Claims made should be corroboratable from info in section 5.

5. Sources to corroborate the impact (indicative maximum of 10 references)

Impact Case Study Structure

Institution: <you can't go wrong here>

Unit of Assessment: <you can't really go wrong here either>

Title of case study: **SNAPPY, INFORMATIVE, COMPELLING, MEMORABLE, begins with 'A'**

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5. Sources to corroborate the impact (indicative maximum of 10 references)

Provide links to / say how to get evidence for things that you claim in section 4.

Impact in REF2014

- Well it was really rather good...!
- 84% of REF Impact was 3* or 4*

REF Submissions & Results



REF2014
Research Excellence Framework

The research of **154**
UK universities was assessed



They made **1,911** submissions including:

- **52,061** academic staff
- **191,150** research outputs
- **6,975** impact case studies

The **overall quality** of submissions was judged, on average to be:

- ★★★★ **30%** world-leading (4*)
- ★★★ **46%** internationally excellent (3*)
- ★★ **20%** recognised internationally (2*)
- ★ **3%** recognised nationally (1*)

- 6,679 non confidential

<http://impact.ref.ac.uk>

REF Submissions & Results



- For the first time, the assessment provides evidence of the impact of UK research. Impressive impacts were found in all disciplines, and from many diverse UK universities with submissions of all sizes.
- On average across all submissions, **44% of impacts were judged outstanding (4*)** by over 250 external users of research, working jointly with the academic panel members. A further **40% were judged very considerable (3*)**.
- Outstanding impacts on the economy, society, culture, public policy and services, health, the environment and quality of life – within the UK and internationally – were found. These reflect universities’ productive engagements with a very wide range of public, private and third sector organisations, and engagement directly with the public.

Average results for all submissions

	4*	3*	2*	1*	U	
Overall quality of all the submissions was, on average:	30%	46%	20%	3%	1%	
Overall quality is derived from three elements – outputs, impact and environment. They were graded, on average:	Outputs	22%	50%	24%	4%	1%
	Impact	44%	40%	13%	2%	1%
	Environment	45%	40%	13%	2%	0%

Learning from 2014

- A lot of people are now skilled at:
 - Developing impact case studies
 - Review and assessing impact case studies
- The Impact Template was generally... useless
- There are 6,679 available online (<http://impact.ref.ac.uk>)
 - Some profiles were 100% x*:
 - 1* - 3 UOA submissions = 6 Case Studies
 - 2* - 13 UOA submissions = 26 Case Studies
 - 3* - 30 UOA submissions = 73 Case Studies
 - 4* - 40 UOA submissions = 128 Case Studies
 - And many more are known...
to individual HEIs due to the (confidential) UOA feedback

Learning from 2014: ICS ratings

Impact				
4*	3*	2*	1*	u/c
20	45	35	0	0

20%

- 20% [4%] Template & 80% [16%] Case Studies

- Say there were 8 Case Studies. Case Studies were scored to 'half marks' and Templates generally all of one quality level...

- So this could be:

- 4* Template. 0x 4*, 4x3*, 1x 2.5*, 3x2* Case Studies; or
- 3* Template. 2x 4*, 2x3*, 1x 2.5*, 3x2* Case Studies; or
- 2* Template. 2x 4*, 4x3*, 1x 2.5*, 1x2* Case Studies

reading them will give you a good idea...

Learning from 2014

- If you have not yet read lots of impact case studies
 - From your subject area
 - With the same types of impact that you might have
- Then do it now!
 - Have I mentioned <http://impact.ref.ac.uk> ?
 - Also just browse... there are plenty of transferable ideas
- Also read the Subject Area Reports & confidential feedback
- There are also some great workshops
 - HEI internal
 - Subject area associations
 - General (eg ARMA)
 - *Managing Impact Post-REF*, London, 1st October
 - *Routes to Impact*, York, 20th October

Impact for REF2020

- This is what we know...

- Erm... well there are the OA requirements...

Impact for REF2020

- Some reflections on the possible future of REF Impact
- Assuming:
 - [pending consultation this Autumn] a 'next-REF' in 2020
 - The same general rules (some tweaks...?)
 - The same timescales (relative)
 - The same format / evidence (more meta data?)
 - The same number (some EDI issues!)
 - The same weighting (seems unlikely)
- No effects of major overhauls in other areas (staff selection?)

Impact for REF2020: Conjectures

- Generally Impact scored well and was reasonably well understood, so we assume that it will continue.
- Academic impact unlikely to be allowable [REF2, 5e]
- No reason to assume that impact will ‘travel’ [REF2]
- “Continuing impact” – no reason to exclude... anyway how?
- Evidence might need to be more robust
 - Panels favoured evidence rather than long lists
- Average time to impact (3-9 years) might increase
- **Something needs to be done...**

... to discriminate at the top end

Impact Conjectures: Timescales

- No reason to change...?
- Underpinning research Jan 1999 – Dec 2019
 - The research is more than likely to have been done...
 - ... or at least be underway
 - But also more likely to include (relatively) older research?
- Impact Jan 2014 – Jul 2019
 - So we are 17/67 months... ie over $\frac{1}{4}$ of the way through...
 - Baseline data – you will have this from Jan 2014 already?
 - And ongoing evidence collection... a robust system...?

Impact Conjectures: Format

- 4 pages seemed generally acceptable
- Clarity over the CC-BY licence
- More (some!) metadata, eg DOIs at least!
- Metadata around 'type of impact'... Too restrictive?
- Metadata for evidence? Eg £, QUALY... Too restrictive?
- IDs for people [ORCID?], organisations [ISNI?]
 - To aid analysis

Impact Conjectures: Numbers

- REF2014: minimum 2 ICSs needed (up to 14.99 FTE)
- +1 ICS for each additional 10 FTE
- So for 15 FTE 3 ICSs were needed
- At 25 FTE, 4 were needed; 35 FTE → 5; 45 FTE → 6
- And so on...

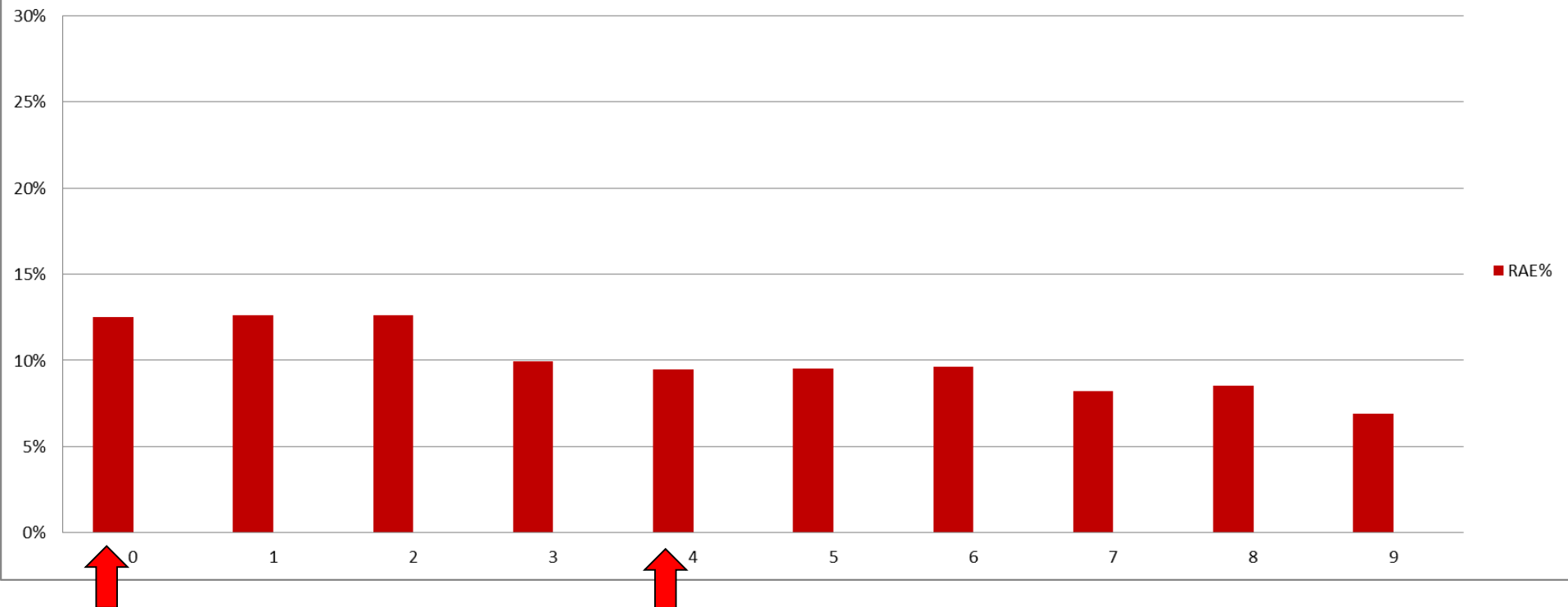
So the question arises, if you had 14 (or 24 or 34 or indeed any number ending in 4) FTE staff and 2 (or 3 or 4 ...) viable case studies, then that was fine...

But what if you have an extra person...

... but no extra viable case study?

Impact Case Study Threshold

UOA FTE submission sizes $\{\text{INT}(\text{FTE})\text{MOD}10\}$ where $\text{FTE} \geq 10.00$ & < 110.00
RAE2008 (n=1,689)

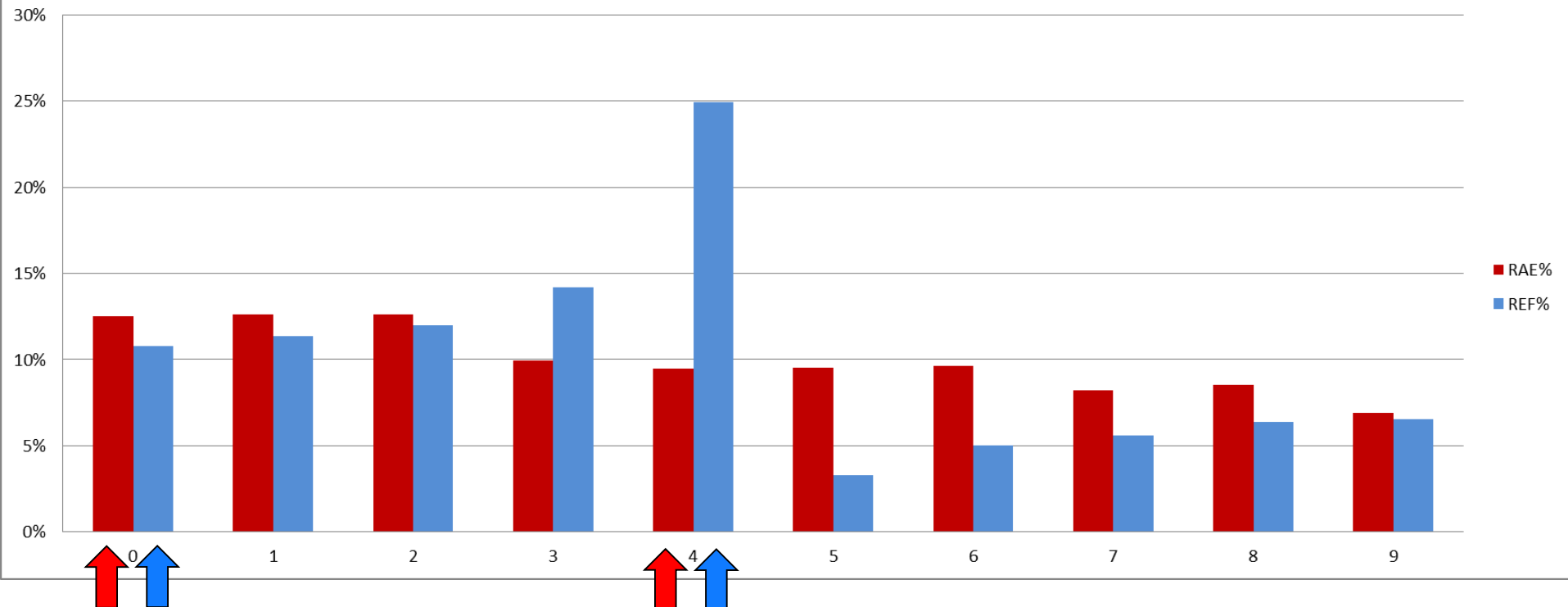


10.00-10.99,
20.00-20.99,
30.00-30.99,
40.00-40.99,
...

14.00-14.99,
24.00-24.99,
34.00-34.99,
44.00-44.99,
...

Impact Case Study Threshold

UOA FTE submission sizes $\{INT(FTE)MOD10\}$ where $FTE \geq 10.00$ & < 110.00
 Comparison between RAE2008 (n=1,689) and REF2014 (n=1,521)



10.00-10.99,
 20.00-20.99,
 30.00-30.99,
 40.00-40.99,
 ...

14.00-14.99,
 24.00-24.99,
 34.00-34.99,
 44.00-44.99,
 ...

Case Study Worth

UOA	#Outputs	Cat A FTE	#ICs		65% Output%	16% ICS%	REF2014 Ratio		20% ICS%	REF2020? Ratio
3	65	16.3	3		1.00	5.33	5.33		6.67	6.67
4	115	33.13	4		0.57	4.00	7.08		5.00	8.85
5	89	24.2	3		0.73	5.33	7.30		6.67	9.13
8	57	17	3		1.14	5.33	4.68		6.67	5.85
9	17	5	2		3.82	8.00	2.09		10.00	2.62
10	117	33.08	4		0.56	4.00	7.20		5.00	9.00
11	117	29.1	4		0.56	4.00	7.20		5.00	9.00
15	84	24	3		0.77	5.33	6.89		6.67	8.62
16	40	11.4	2		1.63	8.00	4.92		10.00	6.15
18	79	21.9	3		0.82	5.33	6.48		6.67	8.10
19	158	43.3	5		0.41	3.20	7.78		4.00	9.72
20	150	43.6	5		0.43	3.20	7.38		4.00	9.23
21	111	30.75	4		0.59	4.00	6.83		5.00	8.54
22	199	54.58	6		0.33	2.67	8.16		3.33	10.21
24	103	27.27	4		0.63	4.00	6.34		5.00	7.92
26	32	11	2		2.03	8.00	3.94		10.00	4.92
28	79	24.7	3		0.82	5.33	6.48		6.67	8.10
29	123	38.1	5		0.53	3.20	6.06		4.00	7.57
30	120	31.4	4		0.54	4.00	7.38		5.00	9.23
31	48	12.4	2		1.35	8.00	5.91		10.00	7.38
32	45	13.2	2		1.44	8.00	5.54		10.00	6.92
33	26	7.88	2		2.50	8.00	3.20		10.00	4.00
35	118	38	5		0.55	3.20	5.81		4.00	7.26
23	2092	591.29	80	average	1.03	5.19	5.03		6.49	6.29
				weighted av	0.71	4.60	6.44		5.75	8.05
						Min	2.09		Min	2.62
						Max	8.16		Max	10.21
						Ave	6.09		Ave	7.61

Impact Conjectures: Numbers

It seems unlikely to me that this will be allowed to continue

- Possible solutions:
 - More case studies – lessens the effect; but more effort
 - Lower weighting to case studies – lessens effect; BIS unhappy!
 - Finer grained ICS assessment – robust?
 - Fewer outputs – lessens effect; less discrimination at the top
 - Remove FTE#-ICS# linkage – how!?
- Whilst more burdensome (how much more?), more ICSs:
 - Good for HEI ‘good news stories’
 - Good for BIS
 - Addresses *discrimination at the top* issue (4*)...or add 5* [REF2]?
 - More easily allows for ‘continuing impact’
 - Lessens ICS cliff edge issue
 - But would adversely affect grade profiles...

Impact Conjectures: Weighting

The original suggestion was that Impact be worth 25%

- It was argued down to 20% as it was untried
- It seems to have worked rather well, so
- Many expect it to be worth 25% in REF2020
- Another option is to remove the (useless) Impact Template
 - Or rather incorporate it into the Environment Template
- And hence Case Studies would go up from 16% to 20%
 - Without changing the overall weightings
 - This of course exacerbates the “numbers” cliff edge issue
- Or both would mean ICSs worth 25%
ie up 56¼%! Surely too much?

Impact Conjectures: Other Factors

- Staff selection v All staff
- Publications unlinked directly from 4 per staff ?
- Impact Case Study numbers (somehow) unlinked from FTE ?
- Joint (with other UOAs / HEIs) Impact Case Studies...?
- Impact metrics? (→ into Environment...?)

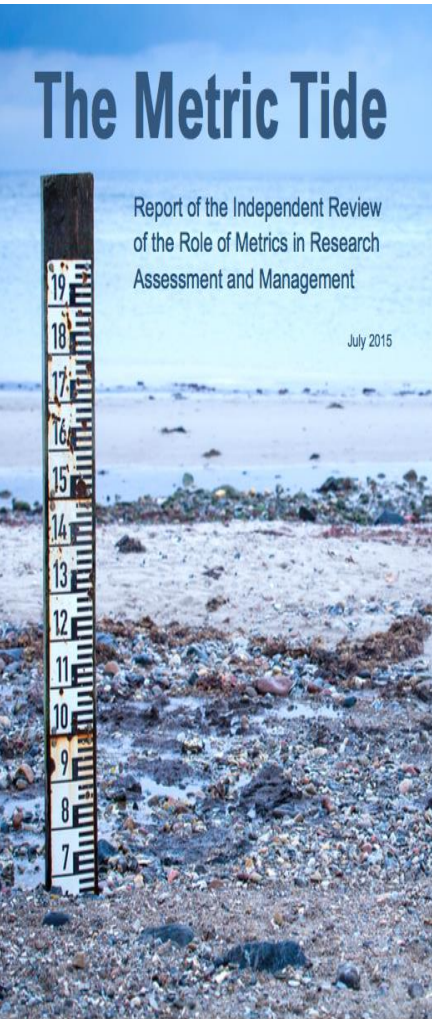
REPORT

The HEFCE *Independent Review of the Role of Metrics in Research Assessment*

Launch at the
Wellcome Trust, London,
9th July 2015

#HEFCEmetrics

<http://www.hefce.ac.uk/rsrch/metrics/>



[What we do](#)[Publications & Reports](#)[Data & Statistics](#)[News & Events](#)[Home](#) > [Research](#) > [Review of metrics](#)[Policy Guide](#)

Independent review of the role of metrics in research assessment

We are reviewing the role of metrics in the assessment and management of research. This affects anyone with a professional interest in research assessment and funding.

[Review of metrics](#)[Call for evidence](#)[Stakeholder workshops](#)

What is metrics-based research assessment?

Metrics is the quantitative analysis of scientific and scholarly research outputs and their impacts. Metrics include a variety of measures and statistical methods for assessing the quality and broader impact of scientific and scholarly research.

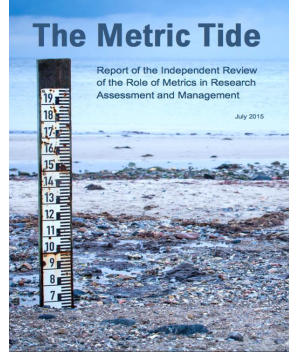
Related content

[Research Excellence Framework](#)[Review of REF2014](#)

About the review

DRAFT Report structure

- Chapter 1: Measuring up
- Chapter 2: The rising tide
- Chapter 3: Rough indications
- Chapter 4: Disciplinary dilemmas
- Chapter 5: Judgement, peer review and game playing
- Chapter 6: Management by metrics
- Chapter 7: Cultures of counting
- Chapter 8: Science in transition
- Chapter 9: Reflections on the REF
- Chapter 10: **Responsible metrics**



Impact

- It is not feasible to assess the quality of research impact using quantitative indicators alone;
- Research impact in the REF is broadly defined, however, quantitative data and indicators are highly specific to the type of impact concerned;
- Viewing quantitative data about impact needs to be seen in context, and is likely to require a narrative element;
- There is potential to enhance the use of quantitative data as supporting evidence within a narrative case-study-based approach to impact assessment;
- HE Funding Bodies should build on the analysis of the impact case studies from REF 2014 to develop a set of guidelines on the use of quantitative evidence of impact (cf Digital Science/KPI study);
- These guidelines should provide suggested data to evidence specific types of impact and could also include standards for the collection of data.



Example: Academic ID

ORCID

- An open, universal, disambiguated identifier for academic staff would enable much greater accuracy in metrics
- The Open Research Contributor ID (ORCID iD)
- Possible 'incentives' for using ORCID iDs:
 - Mandate for REF submission
 - Mandate for RCUK (Je-S) proposal submission
 - Mandate for other funder submission (eg Wellcome Trust?)
 - Mandate for article submission (eg NPG?)
 - Institutional mandate (eg Imperial)
- → Better quality metrics
 - REF and other assessments
 - League tables
 - Promotion and hiring



Approaches to Facilitating Impact

- Know the REF rules
- Understand what a good case study looks like
- Remember that it is the IMPACT that is important
 - Obviously the research is brilliant
- What might it be...?
- How might you measure it...?
- How might you enable it... ?
- Who should you engage with... ?
- Record everything!

Assessment

Impact case studies and templates are judged according to:

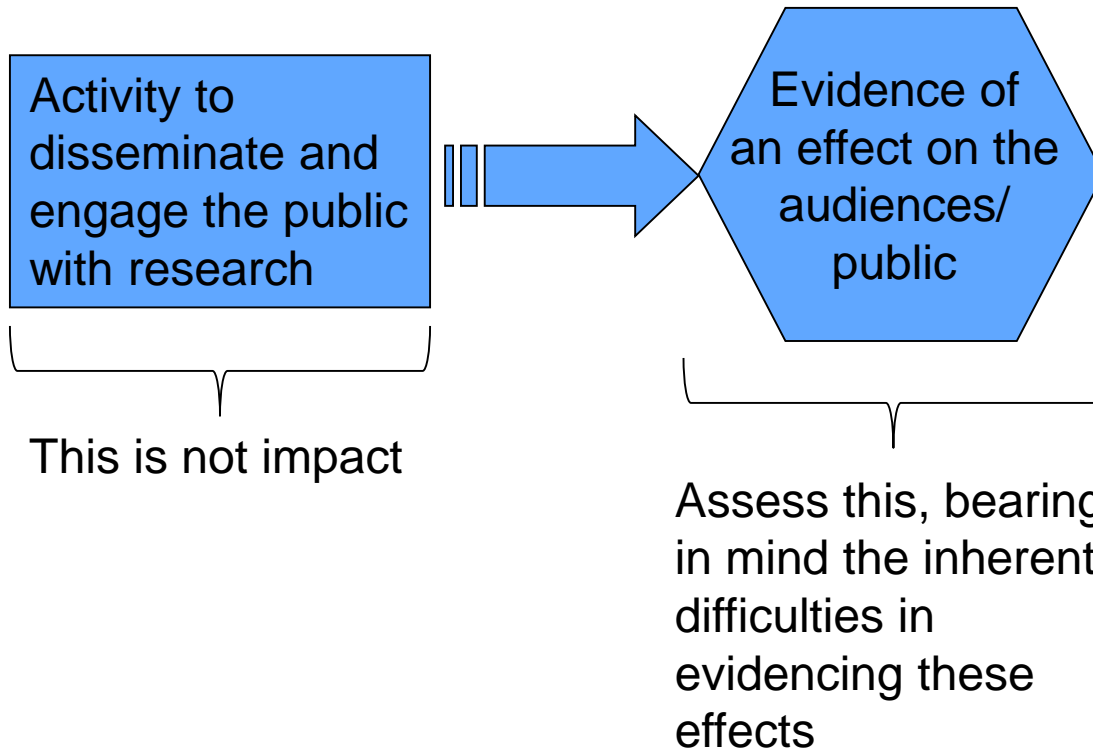
Reach: the extent and/or diversity of the organisations communities and/or individuals who have benefitted from the research

Significance: The degree to which the impact has enriched, influenced, informed or changed the policies, practices, understanding or awareness of organisations, communities or individuals

Judging the impact

- **Overall judgement** about reach *and* significance, rather than assessing each one separately
- **'Reach'**: is not a geographic scale, it may have inherent constraints (e.g. context or jurisdiction). It is considered in relation to the overall potential reach
- **'Significance'**: influence, depth of maturation and transformation

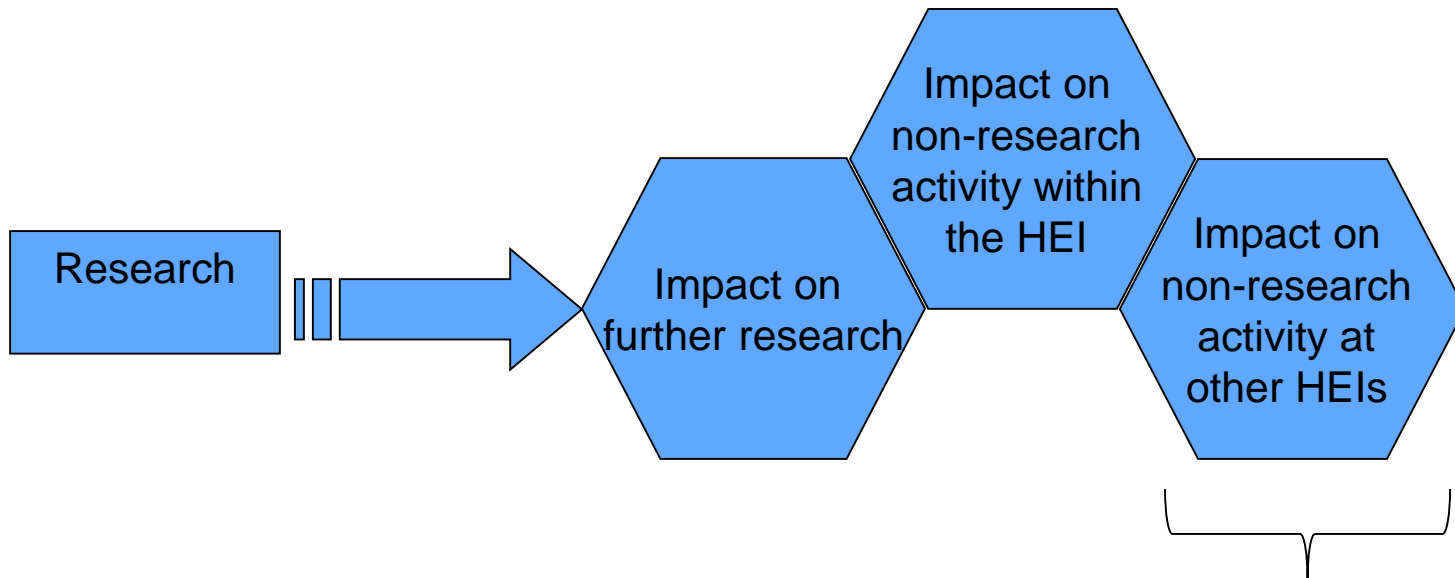
Does the impact meet the REF definition of impact?



Indicators may include:

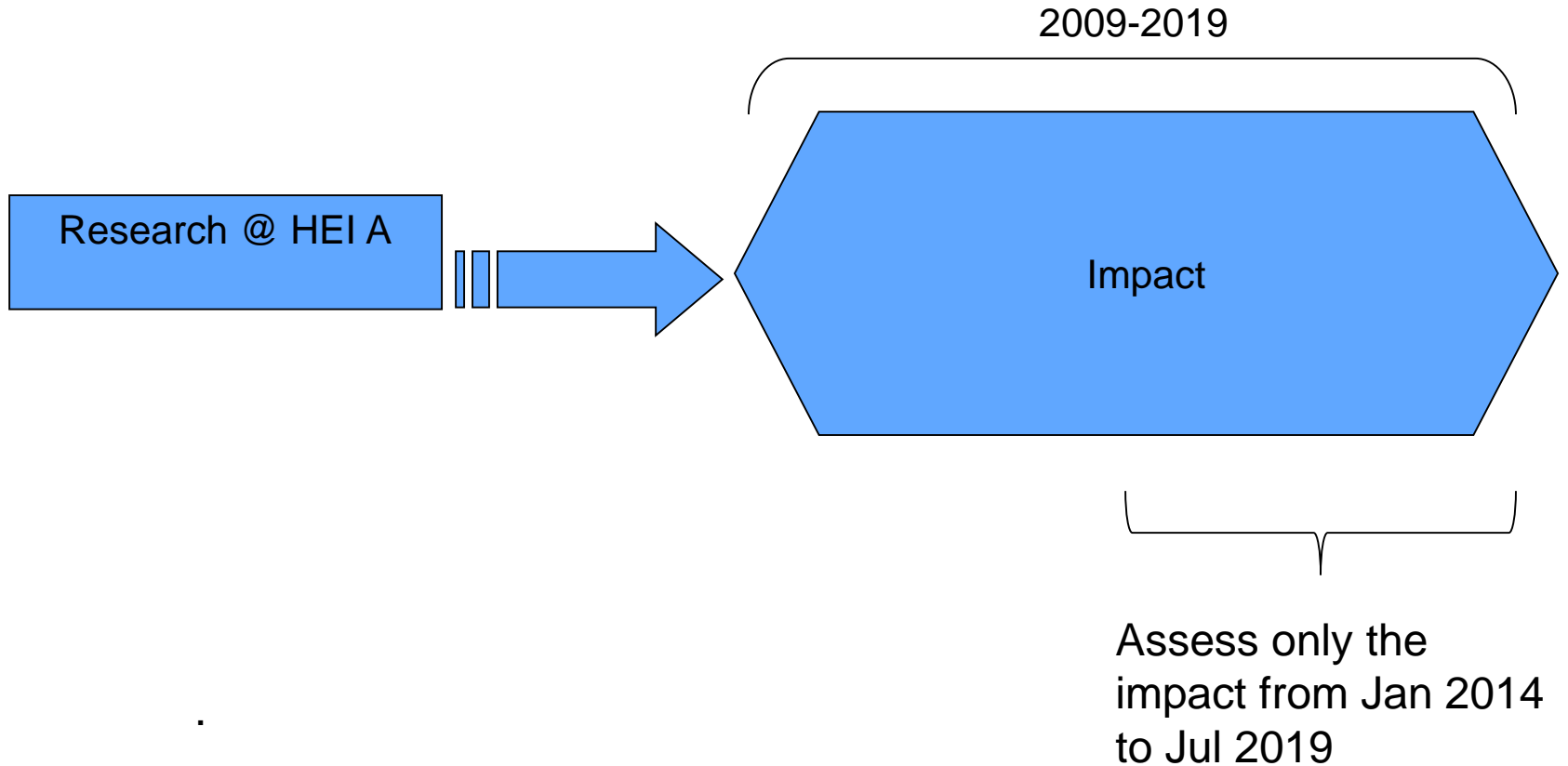
- sustained or growing audience
- audience participation
- use of resources
- media coverage
- reviews
- feedback, surveys, testimony
- public debate
- improved engagement with research
- the significance of the research content to the audience

Impact within the HE sector

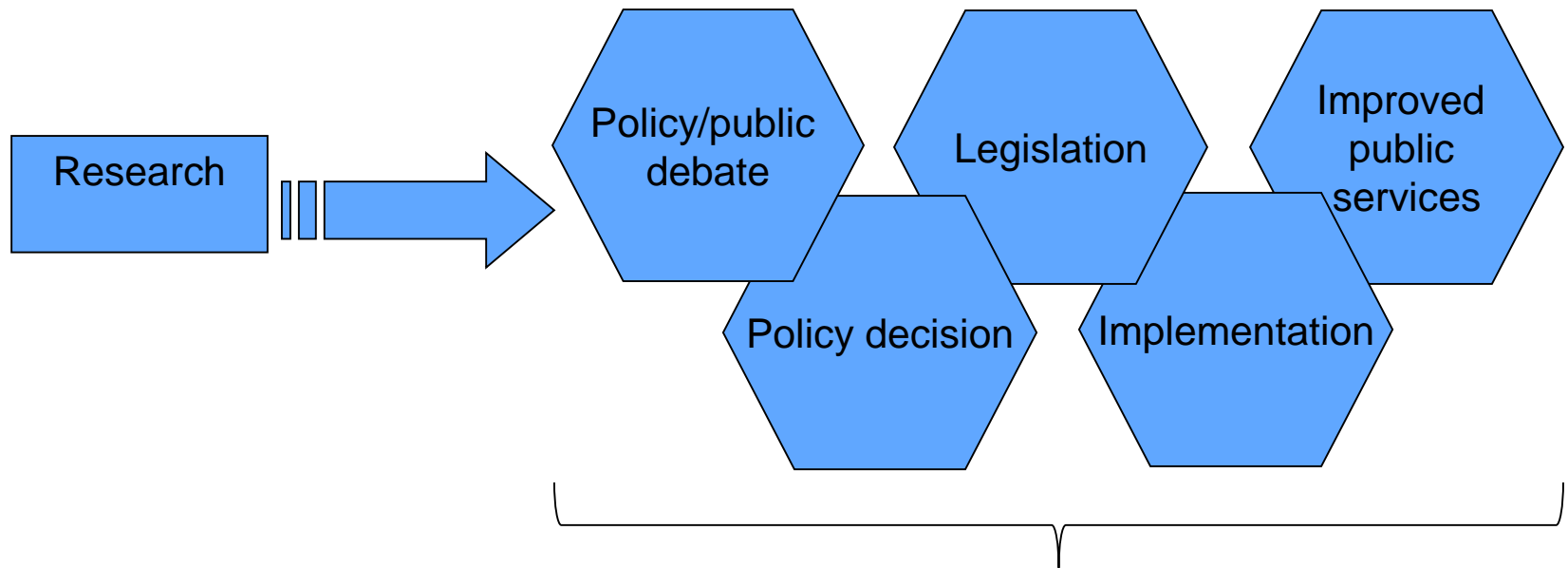


Only this part meets the REF definition of impact

Impact over a long time-frame



Outside HE sector and various stages of maturity (policy example)



All of these meet the REF definition of impact. Assessment of effect, change or benefit that took place between 2014-19, regardless of the stage of 'maturity'. It does not anticipate future impact.

The nature and extent of the impact.

- explanation of the **process** or means through which the research led to, underpinned or made a contribution to the impact – (1) **how** it was disseminated, (2) **how** it came to influence users or beneficiaries, or (3) **how** it came to be exploited, taken up or applied).
- the particular **contribution** of the submitted unit's research and acknowledge other key research contributions.
- Details of the **beneficiaries** – who or what community, constituency or organisation has benefitted, been affected or impacted on.
- Details of the **nature** of the impact – **how** they have benefitted, been affected or impacted on; **how** the research made a distinct and material contribution to the impact
- **Evidence** or indicators of the extent of the impact described, as appropriate to the case being made. **Dates** of when these impacts occurred.

Key Reflections

1. Clear sense of partners – external organizations/partnerships/user-groups
2. Platform for achieving impact – networks
3. Identified the sector and responded to needs – media, community, museums etc
4. Stage of development: Is it potential or actual? How does it need embedding?
5. Relationships of exchange outside the HEI

Impact Case Study Example



- History, University of Kent
- *Medical Ethics and the Legal Dimension of Britain's Biological and Chemical Warfare Programme, 1945-1989*

This case study relates to policy making and cultural life. Ulf Schmidt's international recognised excellence in the field of the history of medical ethics led him to:

- Play a pivotal role in shaping the mediation, compensation and reconciliation processes between Her Majesty's Government (HMG) and the Porton Down Veterans Support Group (PDVSG).
- Enhance public understanding of the history of medical ethics through the 'War and Medicine' exhibition at the Wellcome Collection, Wellcome Trust, London (November 2008-February 2009), later shown at the German Hygiene Museum, Dresden (April to August 2009) and the Canadian War Museum Ottawa (May to November 2011).

Schmidt provided expert testimony in the high profile legal case brought against HMG for the Ministry of Defence's failure to seek informed consent for medical experimentation on service personnel at Porton Down; his work materially assisted over 700 veterans to £10m in compensation awards and resulted in a public apology from HMG to Porton Down veterans.

The exhibition attracted 185,000 visitors in the UK, Germany and Canada and achieved positive critical comment, revealing the reach and significance of the impact.

Impact Case Study Example



- Underpinning research

The research was carried out by **Ulf Schmidt (Lecturer 2001-2005; Senior Lecturer 2005-2007; Professor since 2007)** and his research associate (Dr David Willcox, PhD 2004). The work resulted from, and extended, **Schmidt's Wellcome-funded work** on medical ethics and the **Nuremberg Code (Schmidt 2004)**.

Key findings were derived from extensive archival research at The National Archives, Kew; the National Archives and Records Administration, Washington D.C.; the Churchill Archives Centre, Cambridge; the Imperial War Museum; Liddell Hart Centre for Military Archives; King's College London; the Medical Research Council; the Library and Archives Canada, Ottawa; University of Sussex; University of Brighton; and the Wellcome Trust, London, to name but a few.

To further research focussed on Porton Down, Britain's chemical and biological warfare establishment since the First World War, Schmidt oversaw the creation of a database containing over 1500 entries relating to key documents as well as an archive containing witness statements, court transcripts, oral history testimony, film and photographs. From this research, **Schmidt revealed that:**

- The Nuremberg Trials forcefully reminded the world that the issue of informed consent was crucial to ethical conduct in medical science. This recognition was given formal status in international codes of medical ethics, especially in the so-called Nuremberg Code (1947) and the World Medical Associations' Declaration of Helsinki (1964).
- Despite this, scientists working at Porton Down between c.1940-1965 routinely carried out experiments which contravened these codes of medical ethics.

In particular, **Schmidt's research discovered and determined that:**

- Porton's nerve agent experiments were by far one of the largest nerve agent trials ever performed, involving over 1,500 subjects. Almost 400 subjects were exposed to Sarin.
- Experiments were unusual in the magnitude of the risks. An increasing number of subjects were exposed to increasing dosages of Sarin, known to be highly toxic and potentially lethal.
- Porton's scientists carried out a series of dangerous experiments on service personnel 'volunteers', which demanded, given the nature of the trials, that the highest degree of safety and the most rigorous standards of research ethics known at the time should have applied.
- None of the evidence indicated that any of the experimental subjects was ever informed about the specific objective of the experiments.
- Section 10 of the Crown Proceedings Act 1947 could not protect the Crown from legal liability.

A key case emerged from this research:

- On 6 May 1953, the Leading Aircraftman Ronald Maddison died at Porton Down after being exposed to 200mg of the nerve agent Sarin. The original inquest (verdict of 'misadventure') in 1953 was held in secret for reasons of 'national security'.
- Maddison's death was an accident waiting to happen which resulted from an inadequate level of disclosure and an understatement of risks, despite the fact that there was widespread consensus in the UK that the Nuremberg Code should govern these types of experiments.

Impact Case Study Example



- References to the research

Peer reviewed publications

- 1. Ulf Schmidt, *Justice at Nuremberg: Leo Alexander and the Nazi Doctors' Trial* (Basingstoke: Palgrave Macmillan, 2004)
- 2. Ulf Schmidt, 'Cold War at Porton Down: Informed Consent in Britain's Biological and Chemical Warfare Experiments', *Cambridge Quarterly for Healthcare Ethics*, Vol. 15, No. 4, 2006, 366-380, DOI: <http://dx.doi.org/10.1017/S0963180106060488>
- 3. Ulf Schmidt, 'Medical Ethics and Human Experimentation at Porton Down: Informed Consent in Britain's Biological and Chemical Warfare Experiments', pp. 283-313 in Ulf Schmidt and Andreas Frewer (eds), *History and Theory of Human Experimentation. The Declaration of Helsinki and Modern Medical Ethics*, (Stuttgart: Franz Steiner, 2007).
- 4. Ulf Schmidt, 'Justifying Chemical Warfare': REF2 Output 3 (EP-31119)
- 5. Ulf Schmidt, 'Accidents and Experiments': REF2 Output 4 (EP-31122)

Research grants

- 1997: Three-Year Wellcome Trust Fellowship Award on 'Medical Ethics and Post-War Justice: Dr Leo Alexander and the Nuremberg Medical Trial, 1930 – 1950' (No. 052912): £83,8K.
- 2004 Three Year Wellcome Trust Project Grant on 'Cold War at Porton Down: Medical Ethics and the Legal Dimension of Britain's Biological and Chemical Warfare Programme, 1945-1989' (No. 073435): £189K.

Schmidt's meticulous research and approach has received outstanding reviews from, among others, Professor Dan Stone (Royal Holloway) in the *Times Higher Education Supplement*, Professor Michael Hau (Monash University) in *German History*, and Sir Ian Kershaw, who called Schmidt's recent full-length study on Karl Brandt an 'excellent biography' which 'casts significant new light on how a cultured, intelligent and idealistic doctor could so fervently believe in the principles of Nazi inhumanity that down to his execution he saw nothing wrong in eliminating the sick and infirm in the interests of a more healthy Volkskörper'.

Impact Case Study Example



- Details of the impact (1/3)

Schmidt's association with the PDVSG commenced before the REF assessment period and culminated in 2010. It came about on the recommendation of the Maddison family's lawyer, Alan Care, who had read Schmidt's work on the Nuremberg Trials. Schmidt's input was driven both by his pre-existing knowledge of the wider context of medical ethics and his direct, and on-going, research into the precise nature of procedures at Porton Down. The following outcomes were therefore intimately linked to Schmidt's research and publications.

To ensure that the final outcome is fully understood the following summary of the pre-2008 impact is necessary [See also 5.1]:

- On 10 May 2004, Gerwyn Samuels QC, acting on behalf of Maddison's family, read the Treasury Solicitor letters, which Schmidt had discovered, into the court transcript during the Maddison Inquest. The letters thereby became 'public documents' (Court Transcript Day 4).
- Schmidt was then appointed as the principal expert witnesses to evaluate the history of informed consent. On 15 November 2004, after a sixty-four day trial, then the longest inquest in UK legal history (prior to the inquest into the death of Diana, Princess of Wales), the jury ruled that Maddison was 'unlawfully killed', and that the cause of death was a chemical warfare agent in a non-therapeutic experiment.
- On 20 December 2004, the MoD Minister Ivor Caplin stated in the House of Commons that the MoD would pay compensation to the Maddison family and apologise. In May 2006, after accepting that Ronald Maddison was 'unlawfully killed by reason of gross negligence' the MoD settled the Maddison claim for £100,000.
- In January 2005, the MoD waived Section 10(2) of the Crown Proceedings Act 1947 as defence against claims by Maddison's family. The MoD's decision opened up the possibility for a multi-party action (MPA) by 359 Porton Down veterans to claim compensation from the MoD, which led to a Second Adjournment debate on Porton Down in the Commons (Hansard, Westminster Hall, 22/2/2005, Column 32WH, Porton Down)
- In 2007, Schmidt informed the UK Ombudsman about his findings and called on all parties to seek a negotiated solution (correspondence with UK Ombudsman, 25/9/2007).
- In December 2007/January 2008, Schmidt's research helped to shape, mediate and inform the discussions between the MoD and the PDVSG over compensation claims. According to the PDVSG and the senior lawyer representing the Porton veterans, during the process Schmidt 'made a substantial contribution as to the thorny issues of liability, ethics and consent and his evidence, advice and recommendations were seminal'. [5.2; 5.3]
- Following two mediation meetings on 21 December 2007 and 11 January 2008, both of which were informed by Schmidt's research, HMG and the PDVSG reached an amicable settlement about claims that Porton veterans had suffered ill-health as a result of Cold War experiments, that some of them may have been 'duped' to participate, and that the risks involved may not have been properly explained to them.

Impact Case Study Example



- Details of the impact (2/3)

Schmidt's contribution then culminated between January 2008 and 2010 when he continued his activity on behalf of the PDVSG helping them to capitalise on the MoD's altered stance. The full **reach** and **significance** of Schmidt's impact can be seen in the fact that:

- On 31 January 2008, the Parliamentary Under-Secretary of State for Defence (Derek Twigg) announced a £3 million settlement scheme for the Porton Down veterans, and gave a public apology in the House of Commons: '*... The Government accept that there were aspects of the trials where there may have been shortcomings and where, in particular, the life or health of participants may have been put at risk. The Government sincerely apologise to those who may have been affected*'. [5.4]
- The statement marked a key milestone and end product in the decade-long campaign by the PDVSG that non-therapeutic human trials in which they had taken part had been unethical, and that they warranted an apology and financial compensation. It demonstrated that Professor Schmidt's contributions had, after many incremental steps, led to a major beneficial impact for a distinctive societal group.
- The scheme worked as follows: In 2008, the MoD settled a total of 360 Porton claims at a total cost of £4.7 million, including legal costs. Over the next two years, a total of ca. 470 new Porton claims were submitted to the MoD. [5.5]
- In December 2008, the MoD settled a tranche of 130 claims at a total cost of £3.87 million, including legal costs. [5.5: 2008/09] Of 152 new Porton Down claims received in 2008, the MoD settled almost all within the year. [5.5: 2010/11]
- In April 2009, the MoD settled a second tranche of 141 claims at a total cost of £1.39 million, including legal costs. [5.5: 2010/11]
- In 2010, the MoD settled a third tranche of 18 claims at a total cost of £165,661, including legal costs. [5.5: 2010/11] The campaign to seek justice for the Porton veterans had finally come to a successful conclusion.
- From 2008-2010, HMG paid a total of over £10 million in compensation (including legal costs) to the Porton Down veterans. [5.5]

Schmidt's vital contribution was fully acknowledged by the chairman of the PDVSG who stated that he had 'made a substantial contribution to the issues of liability, ethics and informed consent and his advice and recommendations were seminal'. [5.2]

Impact Case Study Example



- Details of the impact (3/3)

Enhancing public understanding of the history of medical ethics at the Wellcome Collection

In 2008-2009, Schmidt contributed to the [‘War & Medicine’](#) exhibition and took part in an associated panel discussion, [‘A Doctor’s Duty’](#), aimed at the wider public. Schmidt led on the subject of human experimentation, particularly in relation to medical war crimes committed by German doctors during the Second World War. He also helped to organise a section of the exhibition on the history of chemical warfare and Porton Down, which included a display of one of the original Treasury Solicitor letters from 1953. From April to August 2009, the exhibition was also shown at the [German Hygiene Museum](#), Dresden, and from May to November 2011 at the [Canadian War Museum](#), Ottawa.

Reach

In the UK, the exhibit attracted 35,000 visitors over its 12-week run. During the last days, Wellcome Collection saw up to 2,000 visitors per day. In Germany, it received 50,000 visitors, and in Canada 100,000 visitors. [The Canadian War Museum saw a 33% increase in visitor numbers. \[5.6\]](#) [‘A Doctor’s Duty’ panel discussion on 15 January 2009 was attended by 73 people. \[5.7\]](#)

Significance

The feedback for the exhibition was universally positive. Reviews and feature-length articles were published by a wide variety of titles including BBC online, *Big Issue*, *British Medical Journal*, *BMA News Reviews*, *Dow Jones Equities Wire*, *Financial Times*, *Guardian*, *Health Service Journal*, *Lancet*, Ministry of Defence online, *Officer*, *Socialist Worker*, *Sunday Telegraph*, *Time Out*, *The Times*, *TNT Magazine* and the *Weekend Journal*. [5.8] The *Sunday Telegraph* stated ‘anyone with an interest in the past, and its relationship to the present, will find it enthralling’ (21 December 2008) and the *Financial Times* labelled it ‘provocative, eclectic, intelligently curated... it is well worth the excursion’ (20 December 2008). [5.8] ‘A Doctor’s Duty’ panel discussion was equally well-received. Audience member comments noted that ‘the choice of speakers was excellent’ and praised ‘the speakers’ insights and their excellent answers to difficult questions’. [5.7]

Schmidt’s research has therefore significantly enhanced the lives of Porton Down veterans and their families, as well as enhancing public understanding of medical ethics.

Impact Case Study Example



- Sources to corroborate the impact

Information relating to the Porton Down Case:

1. [“Chronology of Porton Down Litigation”](#)
2. PDVSG: Statement by First Chairman of PDVSG, 30 November 2011 **Statement**
3. Thompson Snell & Passmore: Statement by Senior Litigation Executive, 24 November 2011
4. [Hansard, 31 January 2008](#), Column 21WS: Porton Down Veterans **Statement**
5. Ministry of Defence, Claims, Annual Reports, [2008/9](#) and [2010/11](#)

Information on the ‘War and Medicine’ exhibition and ‘A Doctor’s Duty’ panel discussion: **Statement**

6. Correspondence with James Peto, Senior Curator, Wellcome Collection, regarding visitor numbers, February 2009 and November 2011 **Contact**
7. Correspondence with Rosie Tooby, Events Officer, Wellcome Collection regarding public attendance and feedback on ‘A Doctor’s Duty’ panel discussion, January 2009
8. Wellcome Collection: [Media coverage of ‘War and Medicine’](#)

Impact Case Study Example

- Answer the question...
- Who did the research... when... at your institution
- Demonstrate that it was 2*+ (95% REF2 was...)
- Show the link to the Impact
- **Describe and evidence the impact**
- Provide corroboration
- So, how do we facilitate that?

Impact Case Studies

- **4 pages**
- Title
- Summary [100]
- Research [500]
- References [6]
- **Impact [750]**
- Corroboration [10]
- Contact Details [5] (confidential, not published)
 - Corroborating contacts, & corroborating statements

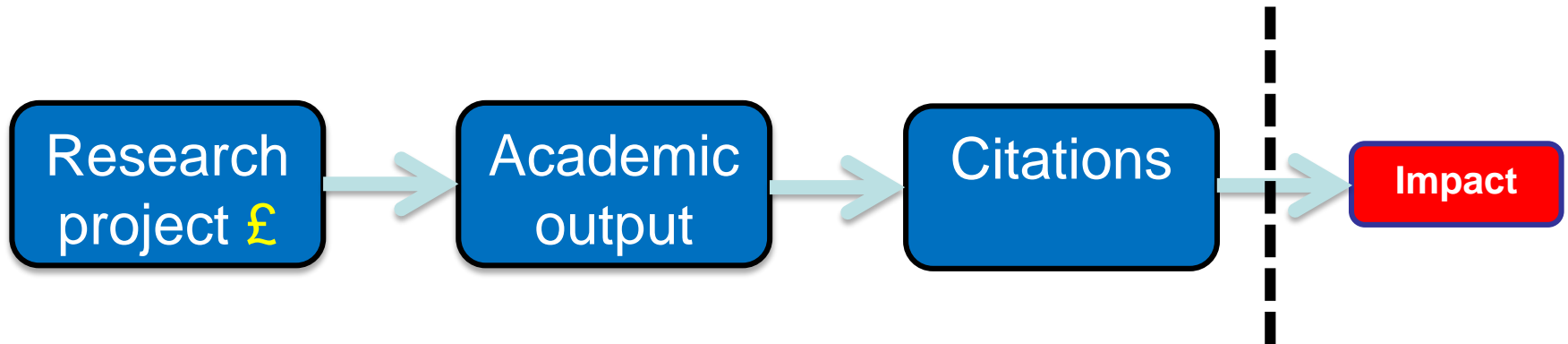
How is Impact generated?

- Passive
 - Research is done
 - Maybe disseminated a bit
 - It is picked up and used by others to have impact
 - ISSUE is how to know what the impact is
- Active
 - Research is done
 - Identify some potential impact partners
 - Work with them to develop impact
- Proactive
 - Include partners (users) in the research design
 - Work with them to generate impact

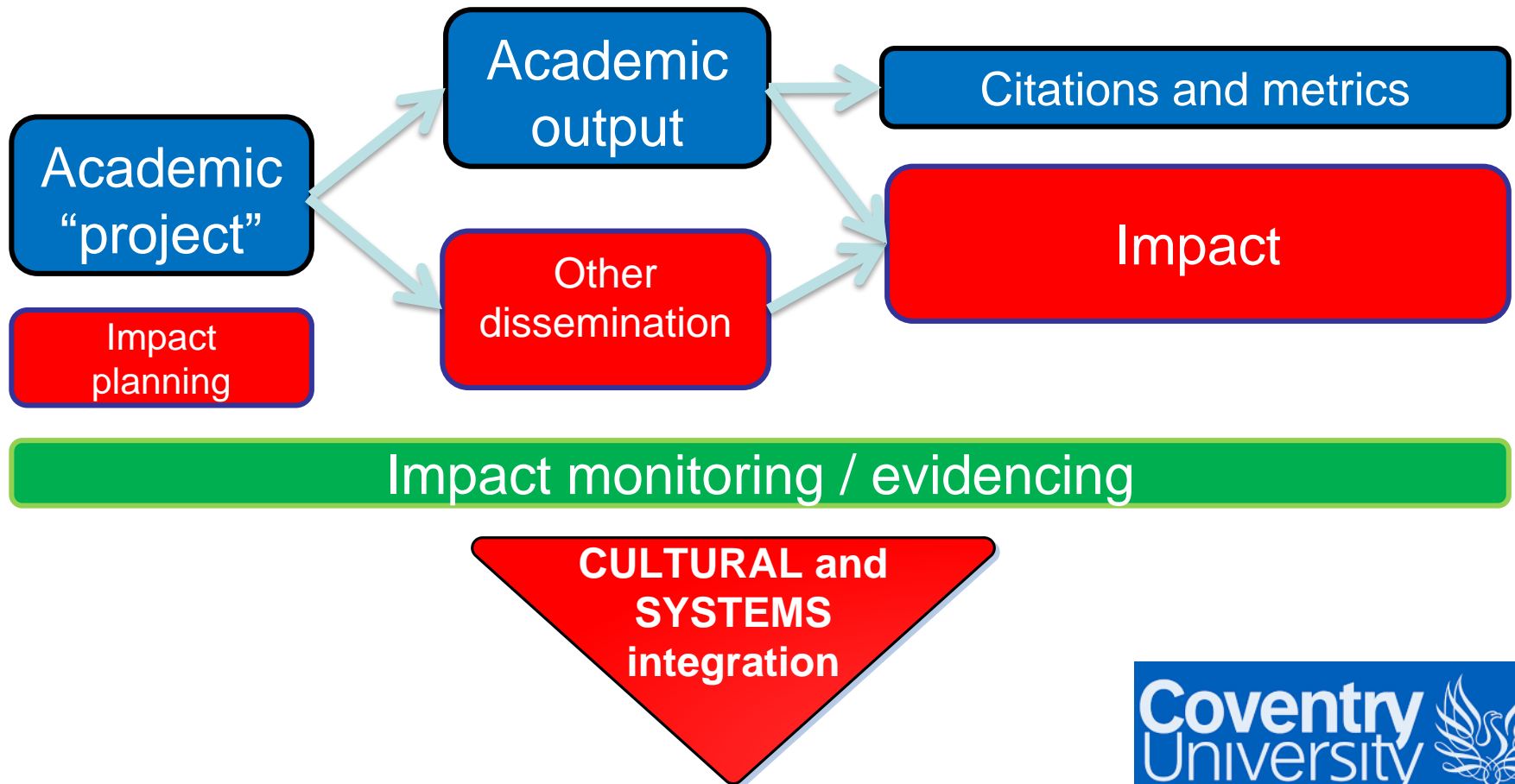
Impact across the project lifespan



From...Impact considered at the end of the project..

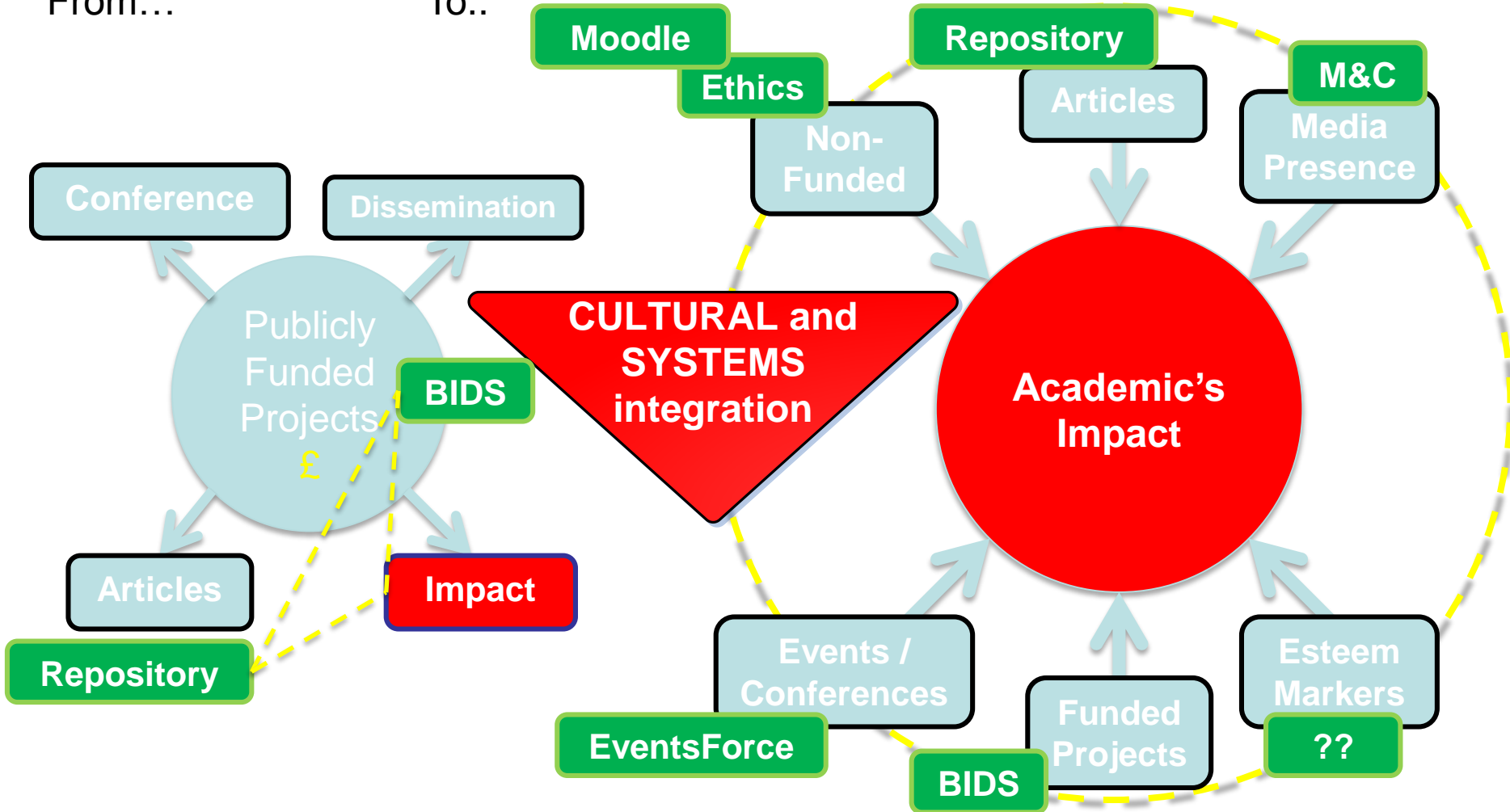


To...Impact built in from the start of a project...



From...

To..



Planning impact

- Planning = more competitive and resourced bids, stakeholders engaged, 'core'.
- NB: Impact is *specific* to a project
 - There is no single 'way' to do impact; *[However...]*
 - Impact resists templating
 - Impact MUST reflect the underlying research programme
- Planning does not preclude opportunistic impact / serendipity

Start at the end...

- You are aiming for an Impact Case Study...

So:

- First we'll remind ourselves what is needed (for the REF)

Then back to the start:

- What research we have that might lead to impact
 - Or even what research might be needed
- Then work out how we can help the impact to develop
- And record information needed for the Impact Case Study

Case Studies – Good Practice



- Start with the research
 - Was it done at your HEI? [or at least enough of it]
 - Was it at least 2*?
 - Was it in the time period? (1999-2019)
 - Did it lead to the claimed Impact?
- Misconceptions
 - (research underpinning) Impact travels
 - Research has to have been done by staff submitted to the REF
 - Research should have been done by a single person
 - The people doing the research also have to 'do' the impact
 - Research has to have been done before the impact happens

Case Studies – Good Practice



- Check that you have evidence of the research quality
 - ie the references – normally publications, or projects
 - But, in theory could be anything
 - Rule of thumb 1 – it is in a journal you have heard of → 2* [95% REF]
 - Rule of thumb 2 – there is RCUK funding → 2*
 - Check again... Was it done at your HEI? [or at least enough of it]
 - Publication may have come out when staff at your HEI...
 - ... but this does not mean that the research was
- Misconceptions
 - Has to include journal articles
 - Has to include funded projects
 - But having either/both makes the case easier
 - Having HEI address on publication means research was done there

Case Studies – Good Practice



- Focus on the impact
 - Claim what you can substantiate
 - Suggest what seems reasonable, even if you can't evidence it
 - Don't under claim, or over claim
 - Tell a cohesive story

- Misconceptions
 - Academic impact is impact
 - Esteem is impact
 - Dissemination to public is impact
 - Academic (or HEI) has to 'do' the impact
 - Impact has to be wholly in the period
 - Impact after Jul 2019 counts
 - Impact before Jan 2014 counts
 - Expected/promised future impact counts

Case Studies – Good Practice



- Corroboration, needs to be
 - Clear – what will the source tell the reader
 - And check that they will!
 - Quantitative, eg ‘doubled’ rather than ‘increase’
 - Qualitative, eg quotes from impactees

- Misconceptions
 - The panel know what your corroborators will corroborate
 - The panel know the importance of the impact
 - The panel will follow the links to see what you are claiming: eg
 - “shows the increased museum footfall” ← practically useless
 - “shows the 150% increase in museum footfall” ← far better
 - “shows the 150% increase in museum revisits” ← even better!

Developing Impact

- Research
- Impact
- Evidence



Developing Impact - Research



- In theory the research part is simple...
 - Academic staff know all about how to do research
 - Just remember that it must have been at your HEI

- But, going forward
 - Think about potential impact whilst doing the research
 - Ideally involve 'users' in your research design
 - Involve 'users' in the research project
 - Dissemination / briefings / ...
 - Workshops (feedback options) / e-fora / ...
 - Steering groups / ...
 - Active participants
 - Research partners

Developing Impact - Impact



- In general academic staff don't generate impact
 - They enable others to do; but
 - Sometimes they do (eg company spinout, ...)
- Whilst it is not required for academics to be involved
 - It can strengthen the impact (and future research), through feedback
 - It makes it easier to gather evidence of the impact
- Academics are good at academic dissemination
 - Many are good at wider dissemination
 - Some are good at engagement with third parties
 - A few are good at other forms of impact generation
- Central support structures?

Developing Impact - Routes



- Assuming that pathways to impact are not built in
 - How do you get your research noticed?
- Academic dissemination
 - Does not in general lead to (REF) impact
- Wider dissemination
 - Can lead to impact; but how do you gather the evidence?
- Engagement with third parties
 - Implies an active dialogue; remember to gather evidence!
 - Small changes (to the research) can gather better evidence
- Impact Generation
 - A multitude of forms; eg policy development, spinout, ...

Developing Impact

– Wider Dissemination



- Non-academic articles (eg trade journals)
- Exhibitions / Performances / ...
- Media appearances (newspaper, radio, TV, ...)
- Blog posts
- Social media

- “get out there and be known”

Developing Impact – Engagement



- Media appearances – with phone in / feedback / ...
- Exhibitions / Performances – elicit feedback
- Blog posts – with comments, develop a ‘community’
- Social media – with comments, a community

- “get out there and be known”
- AND
- record the engagement of others
 - and critically...
- The effect on others
 - “Did this change your perception of...”

Developing Impact

– Impact Generation



- Working with/for a company
 - Or perhaps junior researchers from the group
- Being on a group that develops a new policy
 - And record the effects of the enactment of the policy
- Working with a patient / clinician group with an intervention
 - And recording the effect of the intervention
- Running a large public event / cultural activity
 - And recording the effect on attendees (and the economics!)
- Being a consultant to input into an innovation
 - And gather evidence of the impact of the innovation
- ...

Developing Impact – Evidence



- For REF2020 evidence is likely to be even more critical
- Keep everything! [*Institutional System?*]
- Some digging might be required
- Some diplomacy/consent might be required

- While the case study can be wholly confidential or have redacted sections; the commercial sector has been wary about sharing information

Developing Impact – Encapsulating



- Once you have the evidence for the impact you can:
- Describe the impact (section 4, and section 1)
- Contextualise it
- “Sell it”
- Consider using a professional to help write the Case Study
- At the very least have it read by (many) others

To Reiterate



- Engage with stakeholders
- Messages are key (~ sound bites)
- Translate documents (into plain English)
- Look for paths and court relationships!
- Don't 'cold call'; engage from the start
- Don't assume that the value you see in the work is shared/seen by the audience
- Push the messages out, monitor the effect, capture evidence!
- Make work visible but don't assume 'available' means 'accessed'



Pathways (activities)

- What do the activities contribute to achieving impact?
- Who engages / benefits?
- What changes because of the activity?
- Could you modify the activities to make them more 'impactful'
 - Audience, follow up, format....
- How can you collect evidence?

Pathways - consider



- Media and social media
 - Getting known, engaging audience, having a voice
 - Contributing to sector dialogue (conferences, commentaries)
- Knowledge transfer
 - Drawing on other models of 'communicating and developing' academic work



Tracking and capturing impact



- Evidence of impact = required
- Type of evidence of impact = dependent upon type of impact
- Requires continued link/follow up with users
- Requires ongoing tracking of work being:
 - Noticed / referenced
 - Adopted / used ...
 - ... And then those things being used
- Store evidence in a reliable (and easy to use) place
 - Surely your HEI has one?
- Itemise impact on your CRIS
 - Maybe your HEI has one that supports impact case studies?



Examples of evidence



- Citations in policy documents, professional guidance, commercial reports...
- Service reports/feedback
- Sales figures from company
- Testimonials
- Something that PROVES there has been a change
- Be wary of ephemeral evidence (eg webpages, tweets)

....in Summary



- Build in impact from the start
- Translate “Impact”
- Engage Academics
 - Behaviour change, embed, deal with suspicion...
- Engage Stakeholders
- Build networks (internal and external)
- Bridge academic / research support divide

Thanks to Julie Bayley for the Coventry slides



What steps will you take to embed impact?



1.

2.

3.

Do it NOW – Time, tide and REF Impact assessment windows wait for no-one!

Top next steps

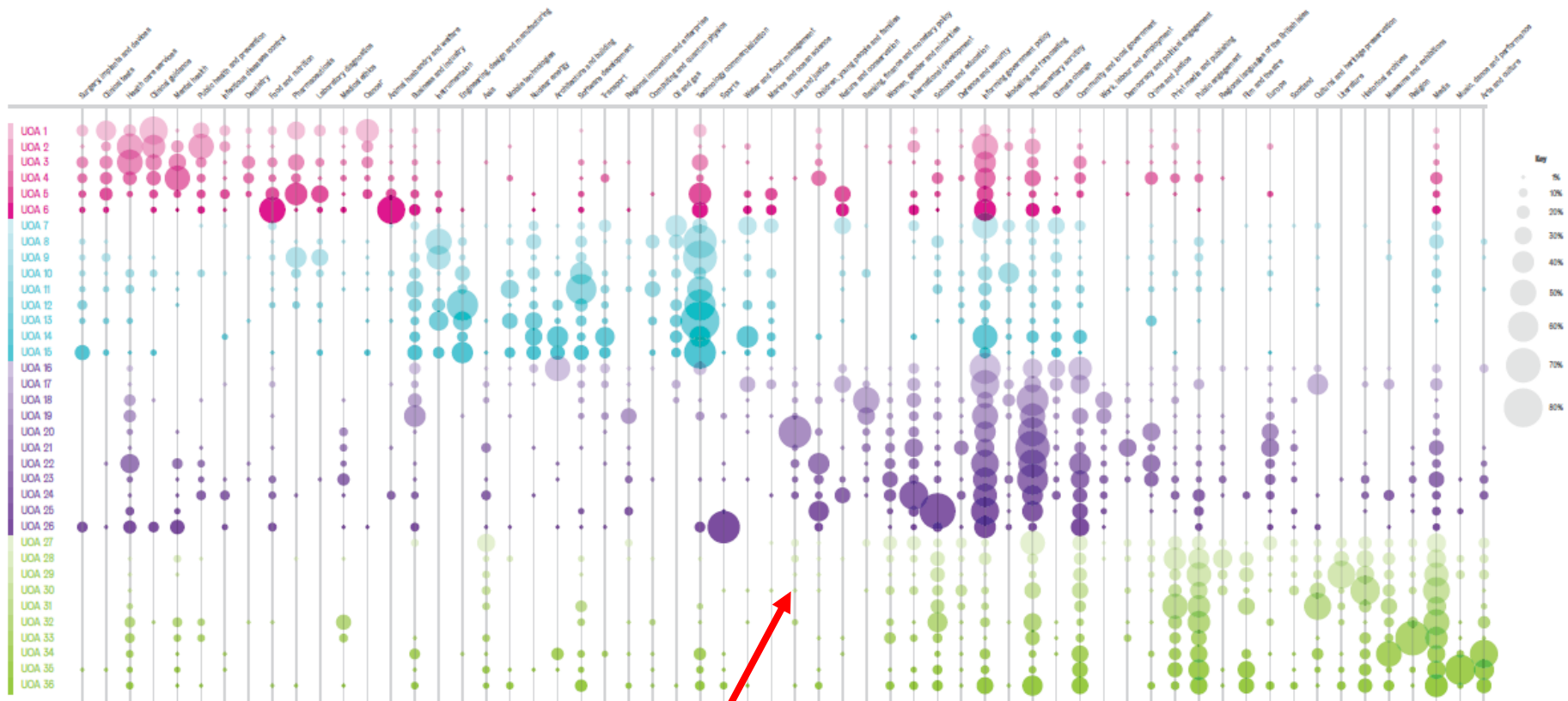


- Read REF impact report
- Explore the REF impact case study database
- Map impact of your work
 - Existing, likely, aspirational
 - Partnerships, beneficiaries
 - Sketch draft case studies
- Review your media / social media / public engagement strategies
- Think about how to transfer / translate knowledge
- Consider how your work links with others
- Peer review each other: ‘fresh eyes’

<http://www.hefce.ac.uk/pubs/rereports/Year/2015/analysisREFImpact/>



Also pretty diagram (bottom of goblet)



- Relationship between the type of impact and the UoA
- Some topics cut across several UoAs
 - (e.g. Technology commercialization, Informing Government policy)

Summary thoughts...

1. What does your impact **currently** look like?
2. What partners / avenues for impact do you already have?
3. How could you grow these?
 - *Scale, reach, depth, national/international, translations, new audiences.....*
4. What impact do you want to see as a result of your work?
 - *e.g. types of impact, effects, changes, measures, evidence....*

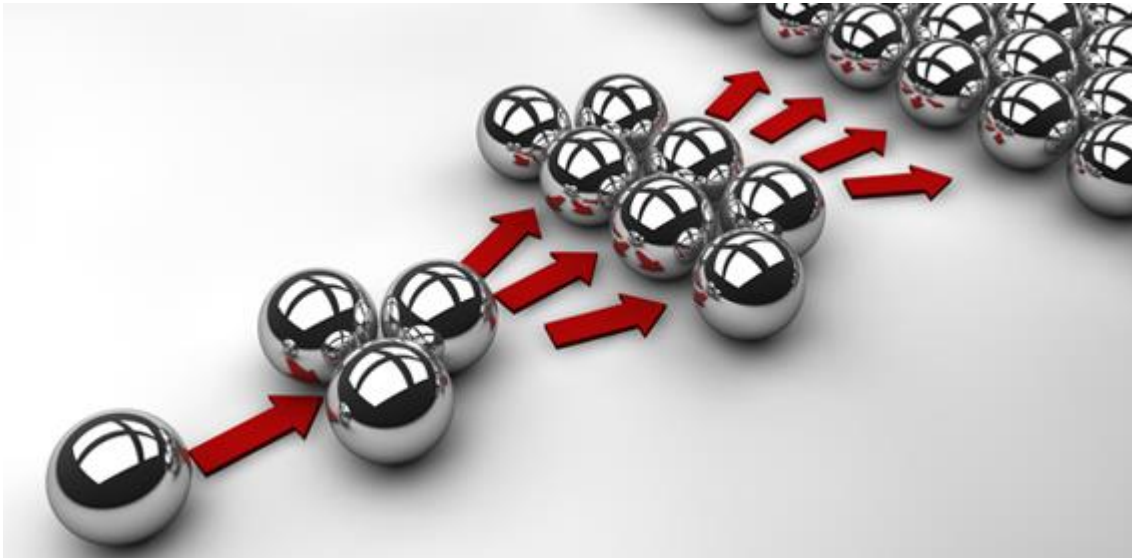
Useful references



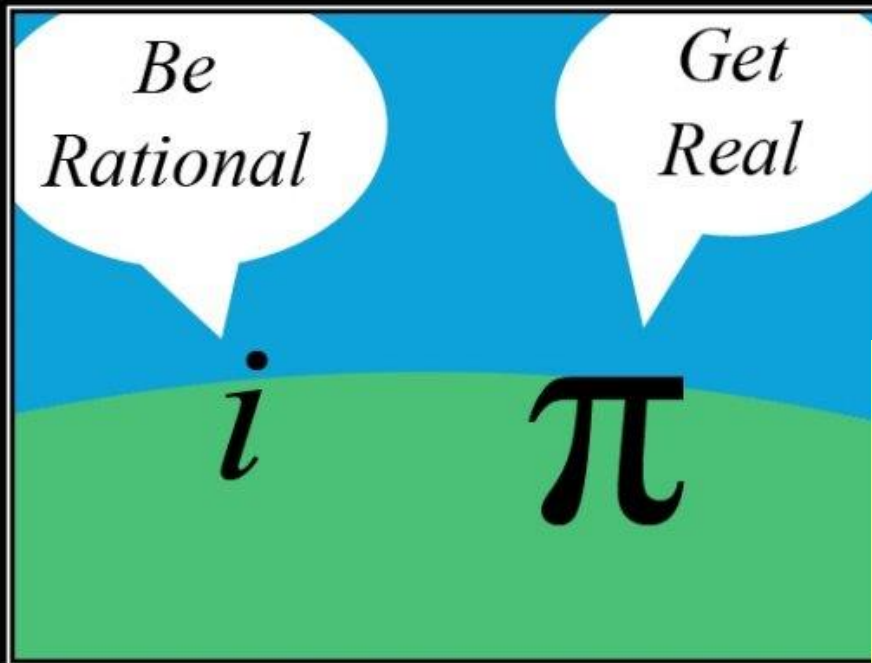
- <http://www.ref.ac.uk/> REF2014
- <http://impact.ref.ac.uk> REF Impact Case Studies
- <http://www.hefce.ac.uk/pubs/rereports/Year/2015/analysisREFimpact/> REF impact review
- <http://www.rcuk.ac.uk/ke/impacts/> RCUK Impact
- <https://www.arma.ac.uk/resources/research-impact> ARMA Research Impact Resources
- <https://www.netskills.ac.uk/bcecpd2/> Professional Devt for Business & Community Engagement
- <http://blogs.lse.ac.uk/impactofsocialsciences/introduction/> LSE blog on impact
- <http://blogs.lse.ac.uk/impactofsocialsciences/2014/08/28/research-funding-officers-foundations-for-impact/> LSE Impact of Social Sciences blog – planning at the funding stage
- <http://www.manchesterbeacon.org/publications/> Manchester Beacon guide Public Engagement
- <https://www.publicengagement.ac.uk/> National Coordinating Centre for Public Engagement
- http://www.exeter.ac.uk/media/universityofexeter/research/inspiringresearch/describeproject/pdfs/2013_06_04_DESCRIBE_Final_Report_FINAL.pdf DESCRIBE Project Outcome
- <http://www.hefce.ac.uk/whatwedo/kes/heif/> HEIF Funding
- <http://www.esrc.ac.uk/funding-and-guidance/impact-toolkit/> ESRC Impact Toolkit

Questions

- On ***Impact Case Studies***
- Or ***Impact Templates***
- Or indeed on ***Embedding Impact***
- Or any other ***Impact*** related issues



- If there are no questions I have a great joke or two...



MATH JOKES

If you get them, you probably don't have any friends.



Approaches to Facilitating Impact

Questions?

s.r.kerridge@kent.ac.uk @simonrkerridge



Possible discussion points

- Impact is here to stay – is it?
- The xx4→xx5 Impact Case Study cliff edge – how to avoid?
- Building impact in from the start – academic freedom?
- Collect evidence... continually – how?
- ‘Evidence developing’ activities – who is best placed?
- Involve users and potential users... at all stages?
- Shout about it – effort v benefit ?
- Workshop it, peer review it – mainstream this?
- Impact incentives? (not a travelling part of academic CV)

Impact metrics?

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