

6-8 November 2019, King's College, London

# AESIS AUTUMN COURSE 2019

Methods and Instruments for Assessing the Societal Impact of Research

6-8 November, London















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# DAY 2







WiFi: CLOUD



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# OVERVIEW OF THE PROGRAMME

Day 1 Introductions

Defining and assessing Institute's Strengths

Introduction to the Case Study

Interactive discussions

Day 2 Integrating impact indicators in strategy
Preparation Case Study
Research Information Systems and metrics
Interactive discussions

Day 3 Disciplinary differences and conflicting interests
Case Study Presentation
Closing

Social programme





# Assessing the Societal Impact of Research 6-8 November 2019, King's College, London

Defining your institute's strengths and how to relate this to a portfolio of impact indicators

# Rutger Engels

Rector magnificus of the Erasmus University of Rotterdam



# Defining your institute's strengths

and how to relate them to a portfolio of impact indicators.

Prof. Rutger Engels

Rector Magnificus Erasmus University Rotterdam

**Dominique van Deursen** 

Data Scientist at BI Center, Erasmus University

Wilfred Mijnhardt

Policy Director Rotterdam School of Management



### Today's agenda

- 1. Why an Impact Strategy
- 2. Who to convince: Partnering and Hurdles
- 3. Decisions for creating an impact system in your institute

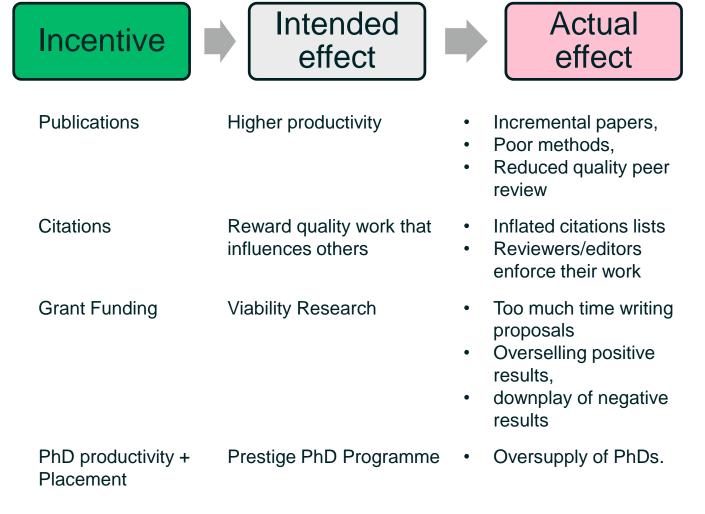


# 1. Why an Impact Strategy

On the ambitions to contribute to a sustainable society.

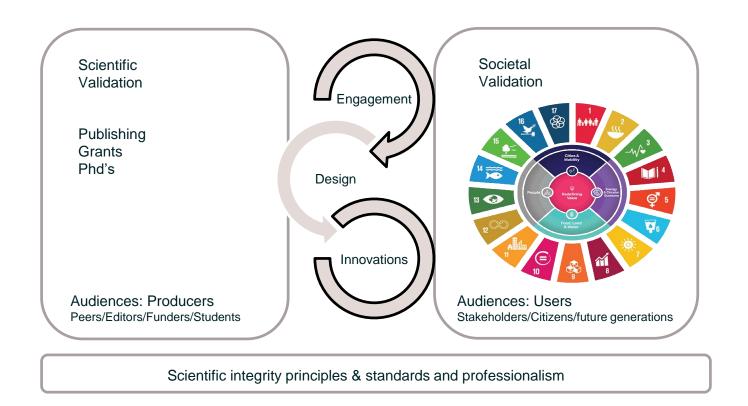


### Setting the Scene: Limitations of the linear growth model



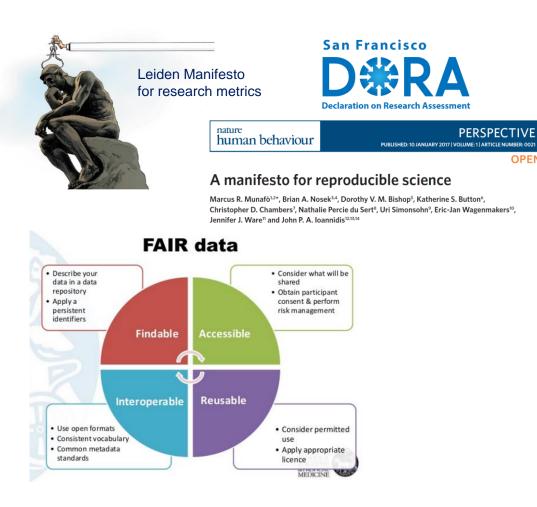


### From valorization (linear thinking) to dual validation (engagement/innovation thinking)





# New responsible turn in academia: examples of global manifestos and new principles on metrics, methods and data integrity









### The question to ask ourselves

- 1. Limits to linear growth have been reached
- 2. Responsible turn in academia has started

How will we develop a responsible method of integrating impact indicators in research strategies?



### The answer is embedded in our University's Strategy

"Ase want to contribute to a sustainable society by critical and dedicated thinking, teaching and action in research, education and operations, as well as in our partnerships."



# 2. Who to convince - Partnering and Hurdles

How can we help those making viable decisions?



### **Understanding Impact Diversity**

Framing Impact



### 9 types of Impact

#### RUSSELL GROUP



















http://russellgroup.ac.uk/media/5324/engines-of-growth.pdf

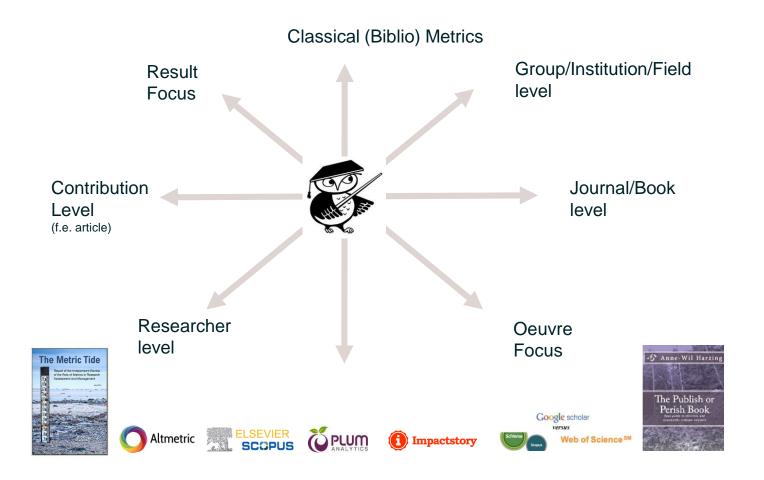


### Understanding Impact Diversity: Types of impact



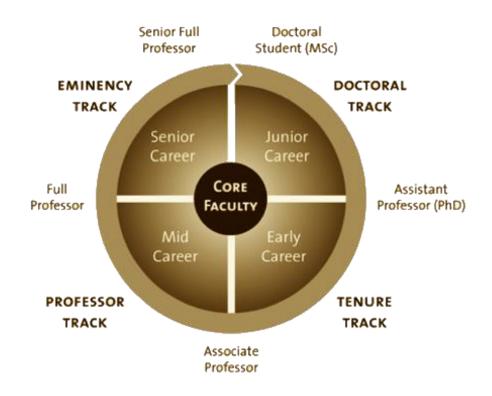


### **Balancing Responsible Metrics**



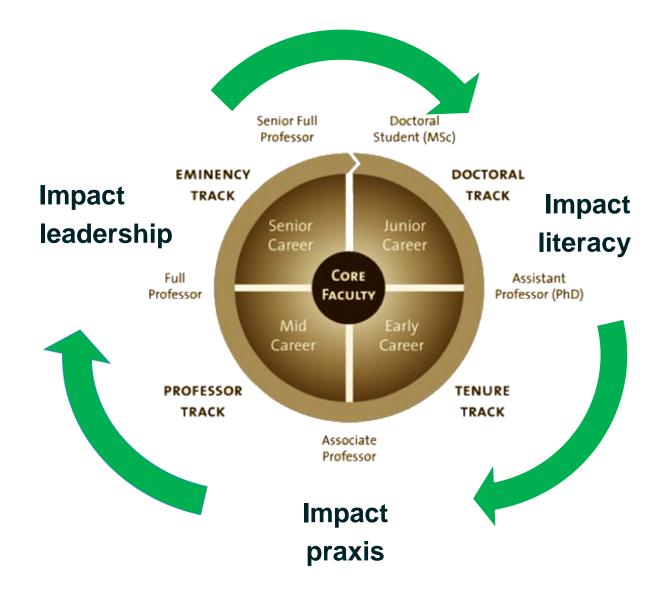


### Academic Career Cycle model: linear thinking in 4 tracks





### Academic Career Cycle model: linear thinking in 4 tracks





### The goals and challenges of impact assessment

#### Goals:

A first approach to an Impact assessment method should:

- 1. Fit your institute's structure and strategy.
- 2. Be designed to aid decision makers in achieving their short and long term goals.

#### **Challenges:**

- 1. Identifying the right indicators of impact measurement
- 2. Providing the right support tool for the right people



### Who to convince: policymakers and other stakeholders



Erafus Erafus

# 3. Decisions for creating an impact system in your institute

An extensive approach to assessing our contribution to society.



# SUSTAINABLE GEALS DEVELOPMENT



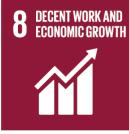


















GENDER EQUALITY

















### The Sustainable Development Goals as policy framework

"We aim to embed sustainable development in our entire education portfolio."



### A first approach



· Scientific contribution of the institution

### 2. Education

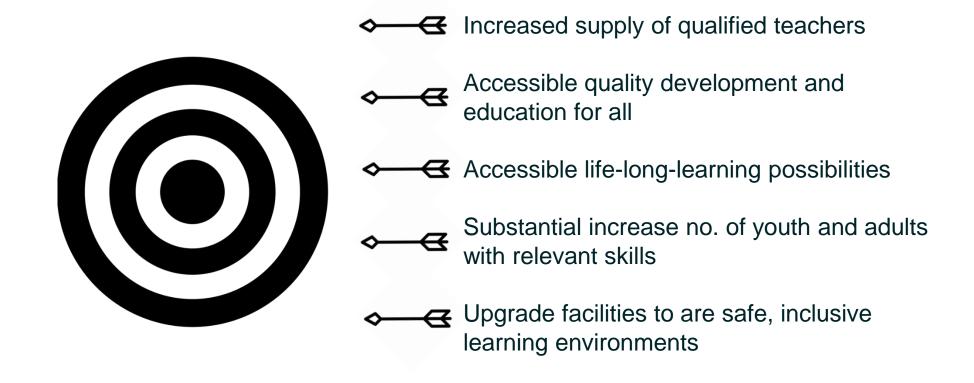
- · Student populations
- · Education Initiatives
- · Courses per faculty aimed at the goals

### 3. Policymaking

- · Collaborations on and around campus
- · Sustainability statistics of the university
- · Initiatives and policies per SDG



### Targets of Goal 4: Quality Education





### Indicators of contributing to Goal 4: Quality Education

#### 1. Research

- Proportion of Scientific literature that is viewed, downloaded or cited (FRSCI)
- Number of publications directly aimed at or related to the goal-subjects

#### 2. Education

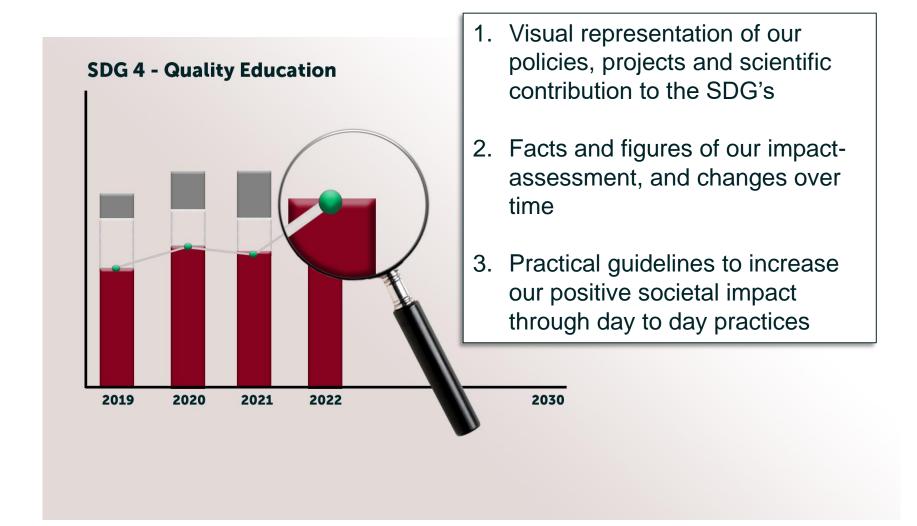
- Proportion of graduates with teaching qualifications
- Education initiatives on campus organized by students
- Courses per faculty directly aimed at or related to the goal-subjects
- Amount of publicly accessible educational activities (e.g. lectures and courses)
- Proportion of first generation students starting a first degree

### 3. Polichmaking

- Policies to ensure publicly accessible educational resources
- Educational activities in the community (e.g. schools, NGD's, local governments)
- Monitoring application and graduation rates of under-represented groups
- Encouraging applications in areas where those groups are under-represented



### How our findings will be embedded in our strategy





# Thank you





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# **BREAK**

10:30 - 11:00



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Research impact practices and vocabularies across different groups of disciplines

## Alis Oancea

Director of Research in the department of Education and Special Advisor on Research Impact, University of Oxford





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Research impact practices and vocabularies across different groups of disciplines

# Presentation in a seperate file



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# LUNCH

12:30 - 13:30



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### Case Study

# Preparation of the Case Study in groups



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## Integrating grand challenges in an institutional research strategy

# Matt Walker

Senior Customer Consultant, Elsevier



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# **BREAK**

15:00 - 15:30



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## University Impact Rankings as a tool for understanding global impact

## **Duncan Ross**

Chief Data Officer at Times Higher Education





#### **Points for discussion:**

- Overview of the ranking
- The first year of the THE Impact Rankings
- Building a global and international model
- Outputs, outcomes and impact



#### Understanding universities across the world





**Young Universities** 

Reputation

Geographical

**Subjects** 



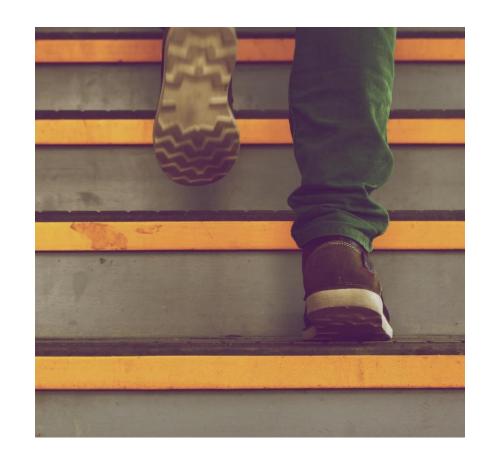






#### **Objectives**

- Understand how universities are making a positive impact on our world
- Show how the Higher Education sector is working towards the UN Sustainable Development Goals
- Showcase aspects of university performance not covered in other rankings
- Be fair to universities across the world
  - Recognise that we bring our biases to the process
  - Be committed to improving the rankings year by year





#### Why use the Sustainable Development Goals to measure impact?

- The Sustainable Development Goals are a call for action by all countries – poor, rich and middle-income – to promote prosperity while protecting the planet.
- They recognize that ending poverty must go hand-in-hand with strategies that build economic growth and address a range of social needs including education, health, social protection, and job opportunities, while tackling climate change and environmental protection.































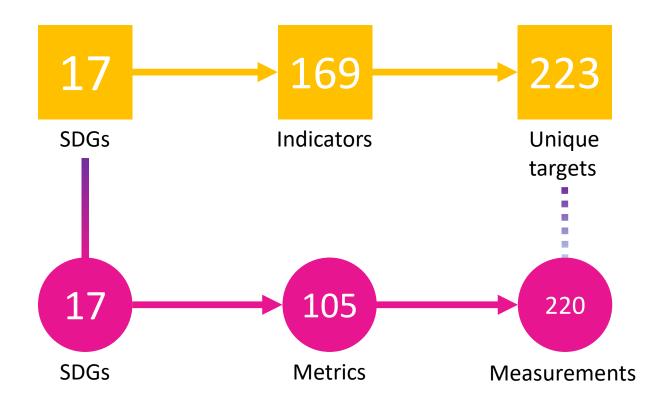








#### How have we gone from an SDG to a metric in 2020?





## Why might you want to use the SDGs?

Pros	Cons
Internationally recognised	Limited link to HE
Spend less time arguing about frameworks	Framework may be less specific
Broad exploration of sustainability	Too broad?
Globally relevant	
SDGs, measures, targets	No specific theory of change



#### What aspects of impact are we exploring?

#### Research

 Research impacts the world by giving us the direction of travel, by helping us to understand how and why to make changes, and by putting this in the context of our beliefs and societies

#### Stewardship

How we use our resources, fairly and equitably, shapes our impact on the world

#### Outreach

Working directly with our communities and nations directs our impact within the wider context
of society, and amplifies the work we do

#### Teaching

Teaching the next generation to adopt sustainability in their lives



#### What does participation mean?

- All universities are able to join the rankings\*
- There will be an overall ranking of universities based on best 4 SDGs per university
- Individual rankings of SDGs
- Participant badge

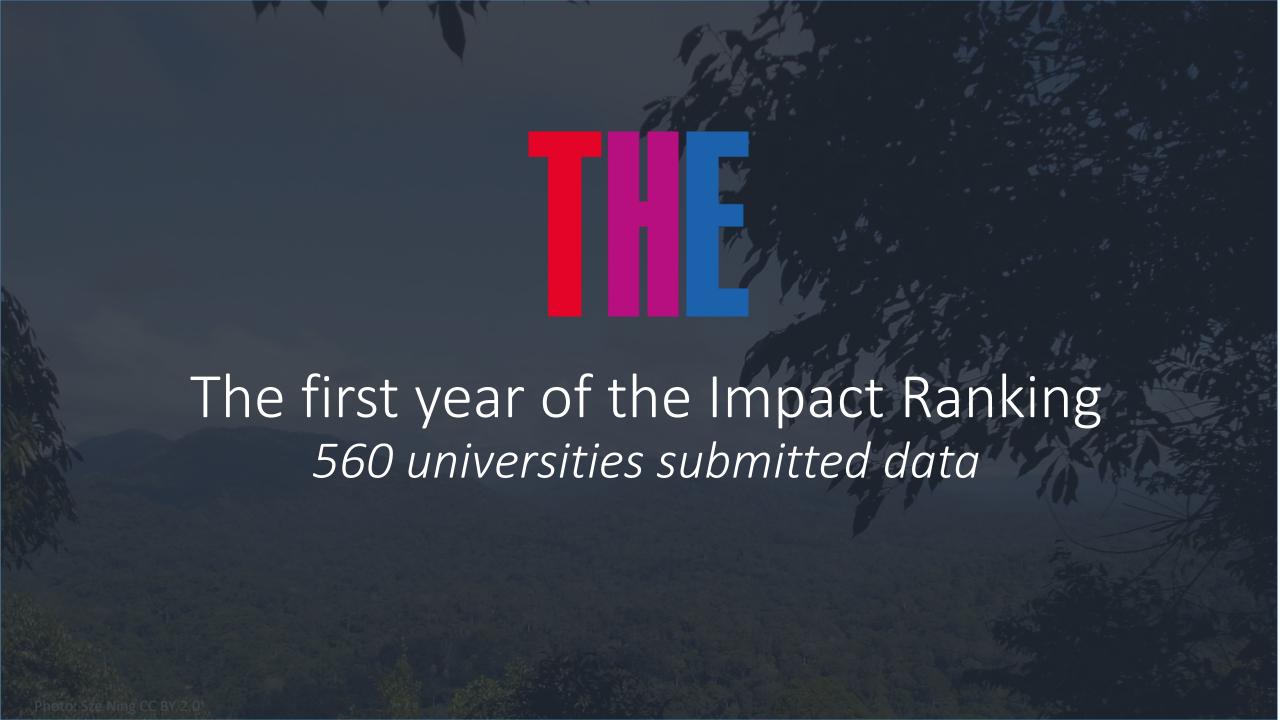


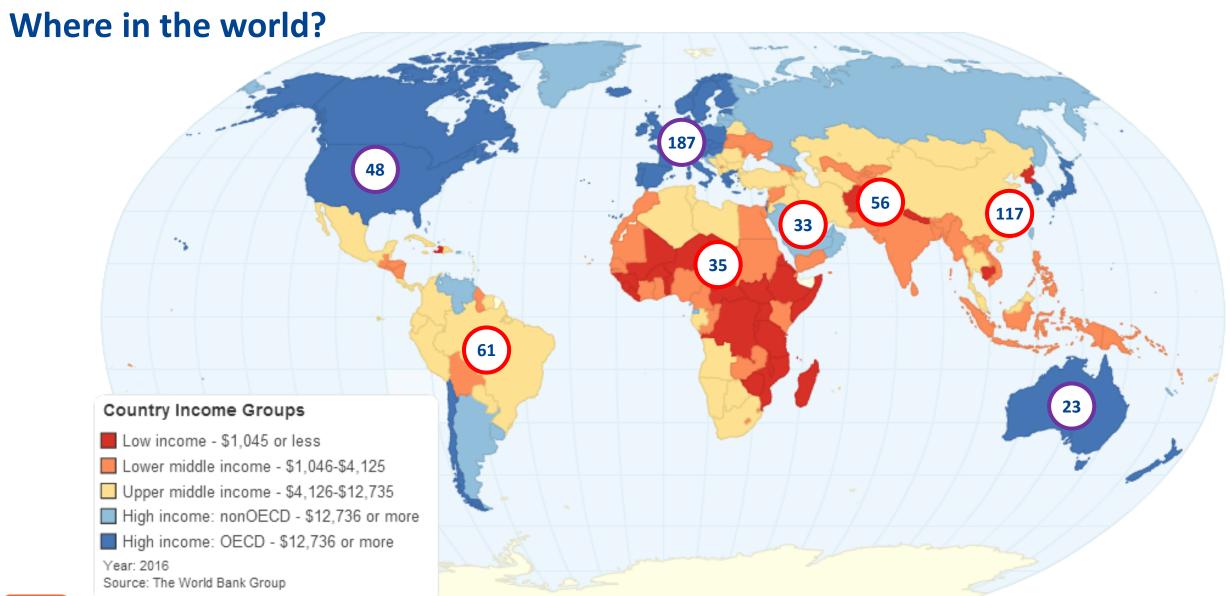


#### How did we (try to) make it fair globally?

- No entry criteria
- Minimise SDGs in submission
- Think carefully about metrics
- Listen to input from universities, organisations, and individuals
- Publish each of the SDGs, not just overall score
- Banding to reflect uncertainty



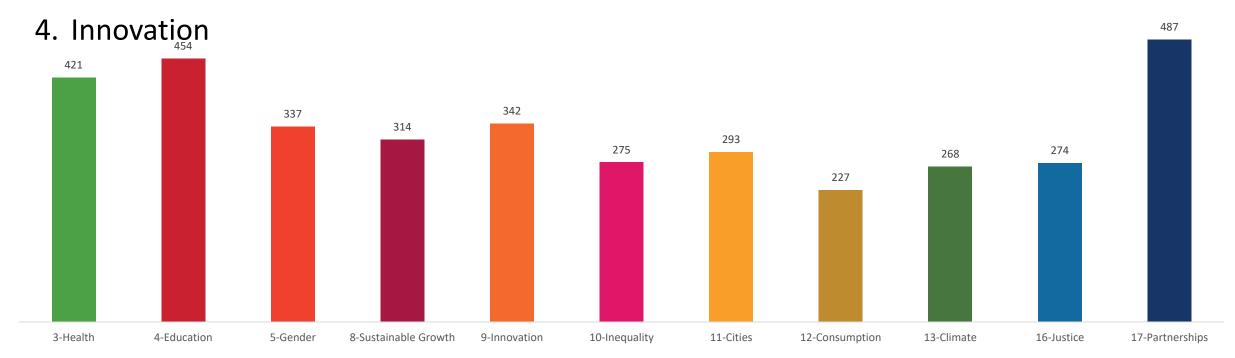






#### Most frequently submitted to:

- 1. Partnerships
- 2. Education
- 3. Health

























**Europe** -10% **Country Income Groups** Low income - \$1,045 or less Lower middle income - \$1,046-\$4,125 Upper middle income - \$4,126-\$12,735 High income: nonOECD - \$12,736 or more High income: OECD - \$12,736 or more Year: 2016 Source: The World Bank Group

















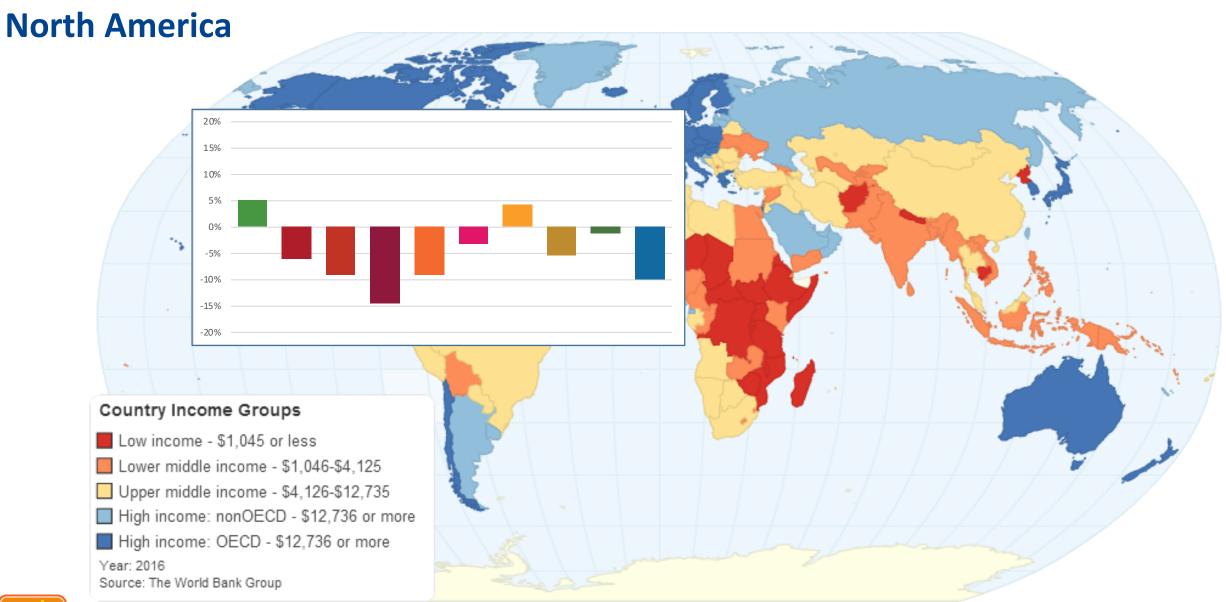




























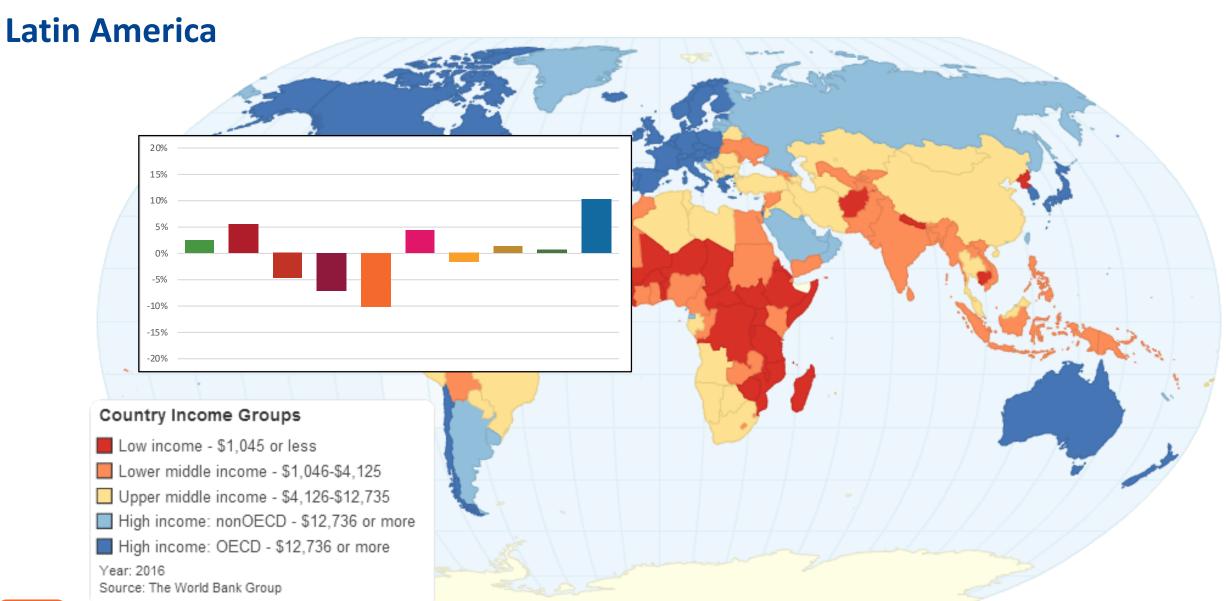




























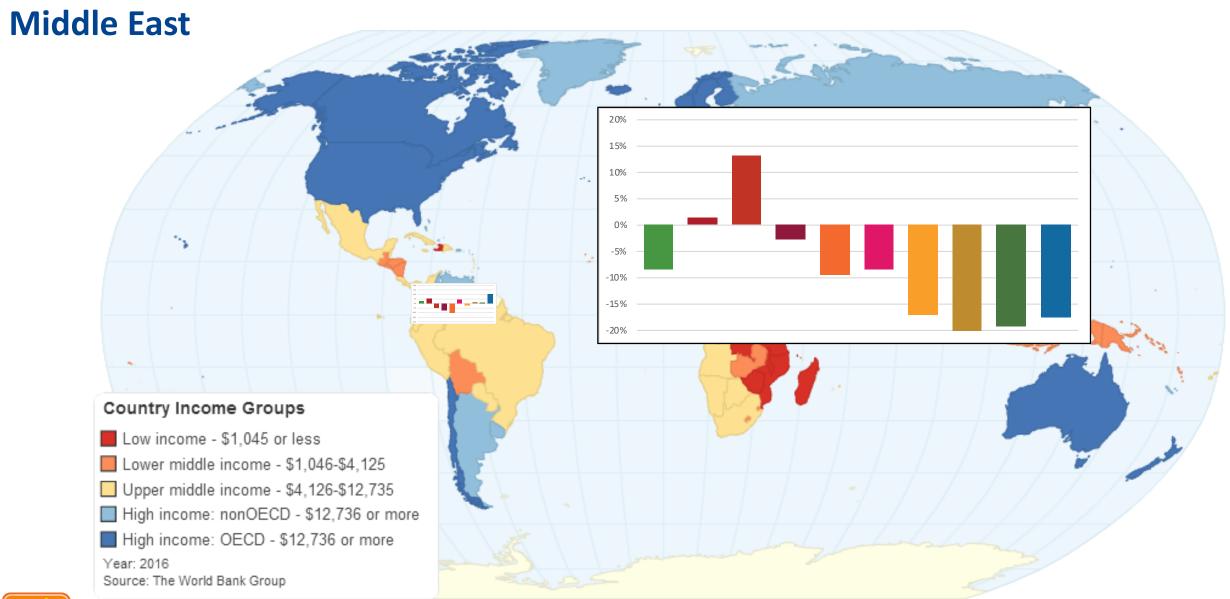


























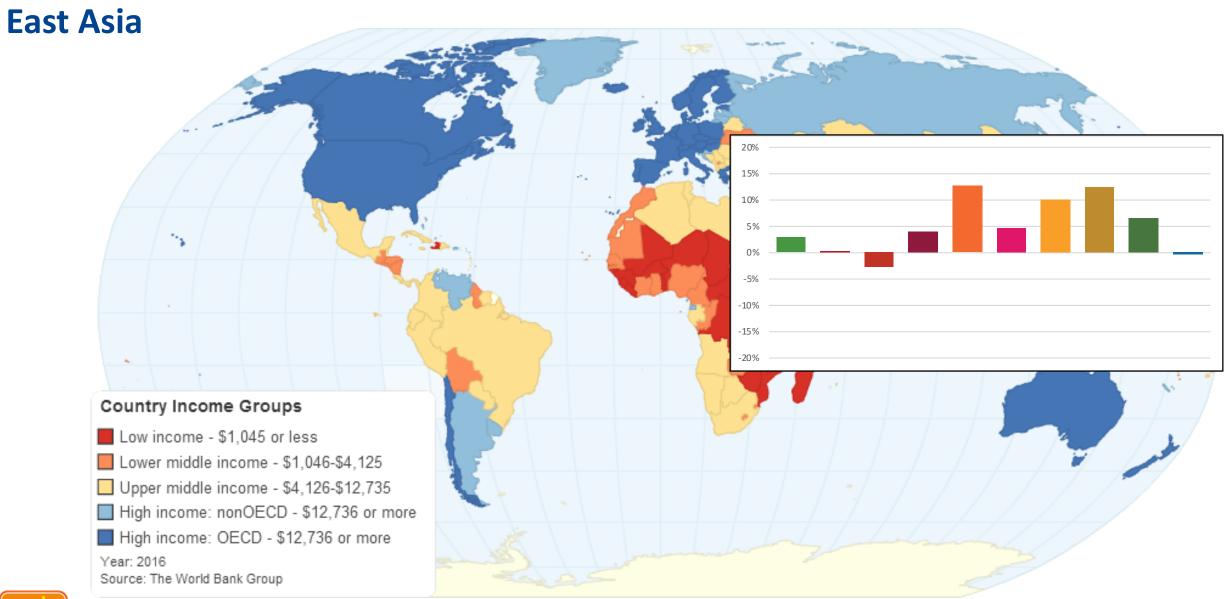




































### Universities from developing countries in Top 20



#17 Iran University of Medical Sciences, Iran



#2 Universiti Sains Malaysia, Malaysia #6 Iran University of Medical Sciences, Iran

#16 Metropolitan Autonomous University, Mexico



#9 Bucharest University of Economic Studies, Hungary

#14 International University of Sarajevo, Bosnia and Herzegovina

#16 Voronezh State University, Russian Federation



#14 Lomonosov Moscow State University, Russian Federation





#5 University of Johannesburg, South Africa

#10 University of the Western Cape, South Africa



#4 Abdullah Gül University, Turkey



#16 JSS Academy of Higher Education and Research, India



#2 Rostov State University of Economics, **Russian** Federation

#8 University of Indonesia, Indonesia

#16 Koç University, Turkey

#17 National Autonomous University of Mexico, Mexico





# Exploring how universities deal with specific conditions and diseases, and support their community

	Metric	Туре	Data source	Area	Percentage
3.i	Research	Continuous	Elsevier	Research	7
3.ii	Number graduating in health professions	Continuous	University	Outreach	9
3.iii	Health impact	Pick list	University	Outreach/ Stewardship	10



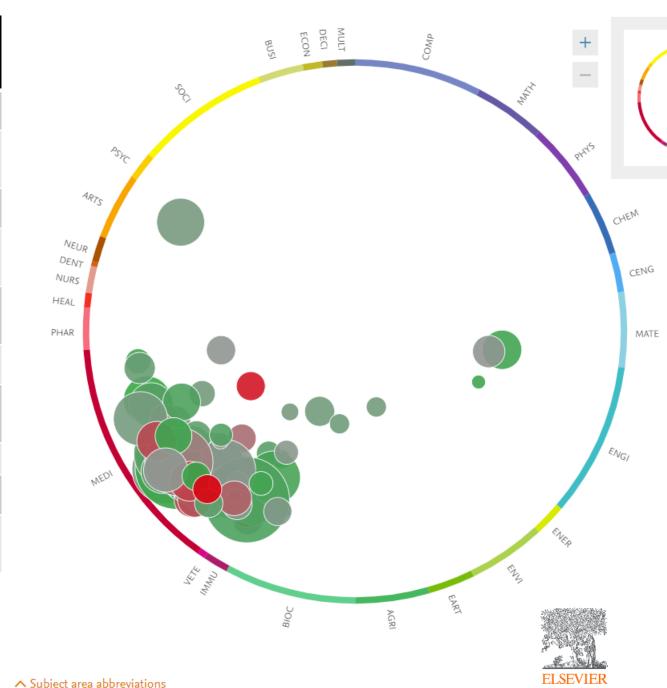
#### 3.i Research Metrics

Research is made up of three elements

- The proportion of a university's output that is viewed or downloaded
- The proportion of university's output that is cited in clinical guidance
- The number of publications



KeyPhrases	Rank	Prominence Percentile
Reyrinases	Kank	rercentile
ZIKV infections, Infection, Viruses	8	99.99
Melanoma, immune-related adverse,		
Immunotherapy	10	99.99
gut microbial, Obesity, Metagenome	13	99.99
Neoplasms, RNA, Long Untranslated, cancer		
tissues	17	99.98
Infrared devices, Chemotherapy, therapy PTT	24	99.98
recipient cells, Exosomes, Cells	25	99.97
ebola virus, Ebolavirus, Hemorrhagic Fever,		
Ebola	32	99.97
direct acting, Hepatitis C, Hepacivirus	44	99.96
Drug delivery, free DOX, Micelles	55	99.94
Nicotine, cigarette e-cigarette, Tobacco	C.F.	00.02
Products	65	99.93





#### 3.iii Health Impact

Collaboration and health services looks at evidence around the following activities:

- Collaborations with local or global health institutions to improve health and wellbeing outcomes
- Outreach programmes in the local community to improve health and wellbeing Community access to university sports facilities
- Free sexual and reproductive health services for students
  - Free mental health support for students and staff







# Universities tackling inequalities: economic, health based, international

	Metric	Evidence required
10.i	Research	Citescore, FWCI, and number of papers
10.ii	First generation students	<ul> <li>Number of students starting a first degree</li> <li>Number of first generation students starting a first degree</li> </ul>
10.iii	Percent of international students from developing nations receiving financial aid	<ul> <li>Number of first degree students</li> <li>Number of first degree international students from low and lower middle income countries receiving financial aid</li> </ul>
10.iv	Percent of students with disabilities	<ul> <li>Number of students with disabilities</li> <li>Number of students</li> </ul>
10.v	Percent of staff with disabilities	<ul> <li>Number of employees with disabilities</li> <li>Number of employees</li> </ul>
10.vi	Measures against discrimination	<ul> <li>Non-discriminatory admissions policy</li> <li>Tracking application and admission rates of under-represented groups</li> <li>Delivering programmes to recruit from under-represented groups</li> <li>Anti-discrimination and anti-harassment policies for staff and students</li> <li>The existence of a diversity and equality committee or officer</li> <li>Providing mentoring or other support programmes aimed at students and staff from under-represented groups</li> <li>Provide accessible facilities for people with disabilities</li> <li>Provide support services for people with disabilities</li> <li>Provide access schemes for people with disabilities</li> <li>Have reasonable accommodation policy/strategy implemented, including adequately funded mechanism for persons with disability</li> </ul>



**Top 20 Country Income Groups** Low income - \$1,045 or less Lower middle income - \$1,046-\$4,125 Upper middle income - \$4,126-\$12,735 High income: nonOECD - \$12,736 or more High income: OECD - \$12,736 or more Year: 2016 Source: The World Bank Group

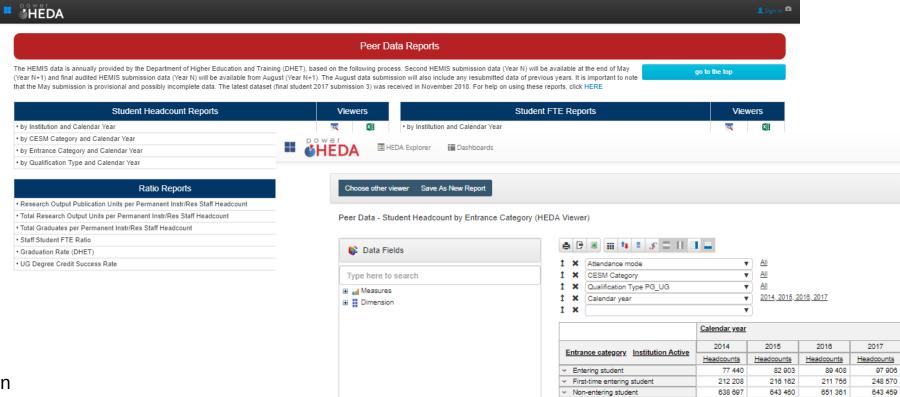






#### Rank #5

10.6 Access to university - Action to support participation and success of underrepresented groups



Transfer student

→ Total

40 809

969 154

42 687

985 212

23 312

975 837

47 049

1038 984



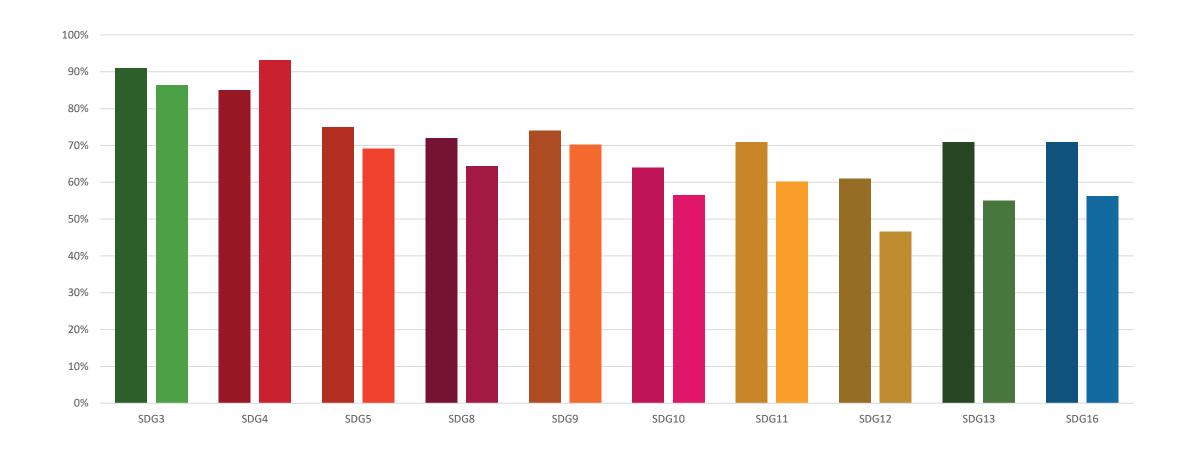


university	Country/region	score	Rank
James Cook University	Australia	70.8	1
Western Sydney University	Australia	70.7	2
University of South Australia	Australia	69.5	3
University of Hong Kong	Hong Kong	68.1	4
University of Johannesburg	South Africa	68.0	5
University of Wollongong	Australia	67.3	6
Autonomous University of Barcelona	Spain	65.8	7
Stony Brook University	<b>United States</b>	63.9	8
Asia University, Taiwan	Taiwan	63.8	9
University of the Western Cape	South Africa	63.3	10
University of Manchester	United Kingdom	63.0	11
King's College London	United Kingdom	62.7	12
RMIT University	Australia	61.8	13
Glasgow Caledonian University	United Kingdom	61.3	=14
King Abdulaziz University	Saudi Arabia	61.3	=14
Pompeu Fabra University	Spain	60.7	=16
University of Waterloo	Canada	60.7	=16
Sungkyunkwan University (SKKU)	South Korea	60.6	18
University of Auckland	New Zealand	60.3	19
University of Tasmania	Australia	60.0	20





#### Were there 'best SDGs' to submit in? Top 100 vs All



























### Were some countries or regions advantaged? Top countries in Top 100

Country/Region	Top 100	Submitted	Top 100 %
Hong Kong	2	2	100%
Netherlands	2	2	100%
Sweden	2	2	100%
Kuwait	1	1	100%
Norway	1	1	100%
Canada	9	10	90%
Republic of Ireland	5	6	83%
United Kingdom	17	29	59%
Australia	11	19	58%
Chile	2	12	17%
Mexico	2	12	17%
Taiwan	3	19	16%
Spain	4	26	15%
Indonesia	1	7	14%
France	1	11	9%
Iran	1	14	7%
Egypt	1	17	6%
Japan	3	52	6%
Russian Federation	2	38	5%

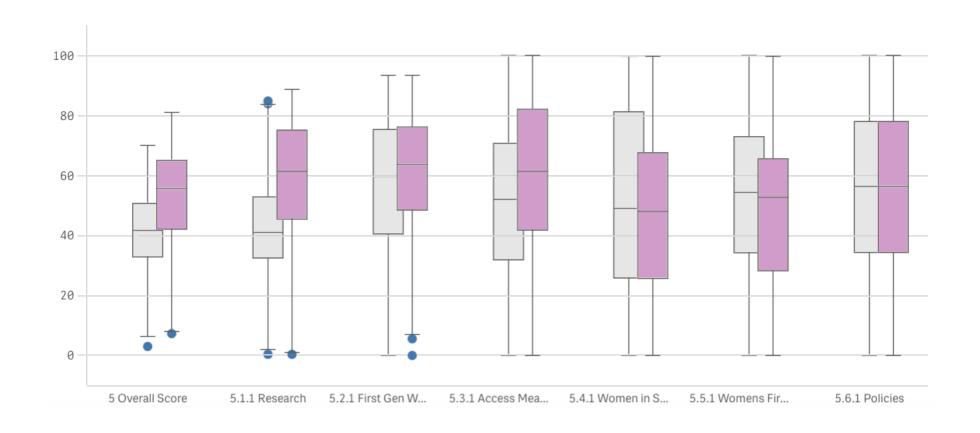


### Is it too close to the WUR? Presence compared to WUR

			WUR
Country/Region	Top 100	Top 100 WUR	Performance
Finland	2	1	100%
Australia	11	6	83%
Canada	9	5	80%
United Kingdom	17	11	55%
Japan	3	2	50%
Sweden	2	2	0%
South Korea	2	2	0%
Hong Kong	2	3	-33%
France	1	2	-50%
Netherlands	2	7	-71%
United States	8	41	-80%
Germany	1	8	-88%

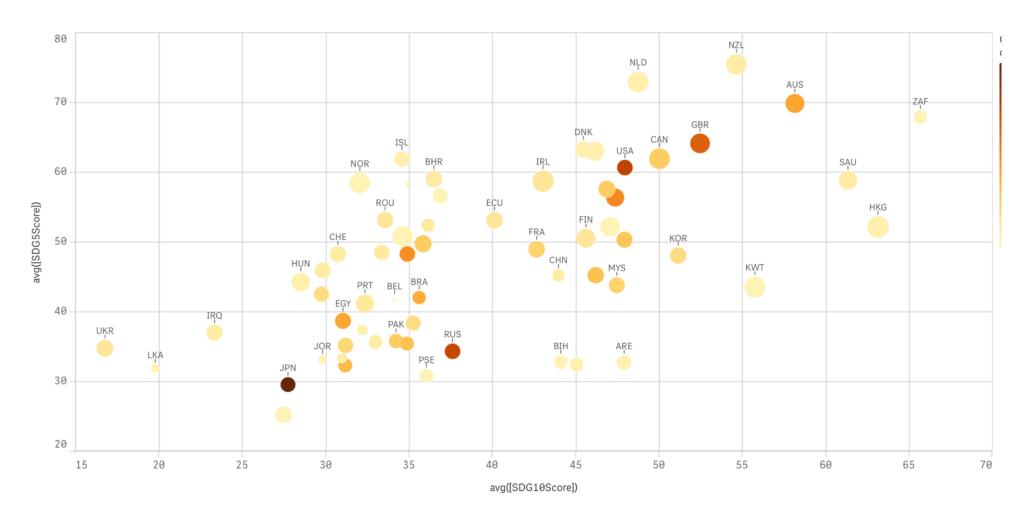


## **SDG 5: OECD vs Emerging Economies**



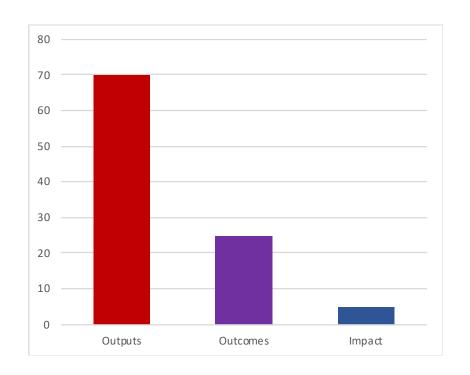


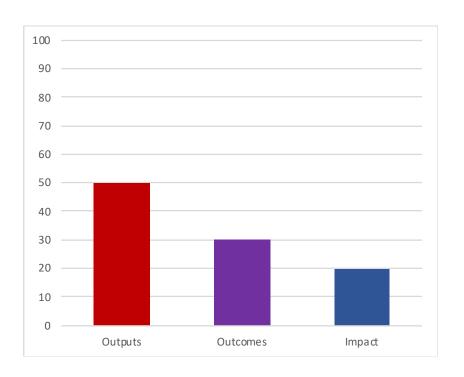
## **SDG 10** and **SDG 5** – Inequalities and Gender





#### **Outputs, outcomes, impact**







#### Using the rankings as a benchmarking tool

- Theory of change
- International comparison
- There will be more detail available internally rankings have an element of LCD
- Are SDGs most relevant to you?
- What have universities done:
  - Publicity
  - Focus
  - Behaviour



#### **Key Dates**

- Data collection opens 14th October 2019
- Data collection closes 3rd January 2020
- Impact rankings publication 23rd April 2020

The 2020 University Impact Rankings will be launched at the Impact and Innovation Summit at KTH in Sweden 22nd -24th April 2020.





## Assessing the Societal Impact of Research 6-8 November 2019, King's College, London

## Panel about Research Strategies, Impact and Research Information Systems

Mark Cox (chair)

Duncan Ross Simon Porter Matt Walker



#### Assessing the Societal Impact of Research

6-8 November 2019, King's College, London

## RECAP AND REMAINING QUESTIONS







#### Assessing the Societal Impact of Research

6-8 November 2019, King's College, London



@AESISNET

## COURSE DINNER

18.30 Sarastro Restaurant

126 Drury Lane WC2B 5SU London

Tomorrow we start with coffee & tea at 8:30



# Research impacts and disciplinary diversity

**Prof Alis Oancea** 

#### Structure

- Impacts in different groups of disciplines commonalities and differences
  - Evidence from interview research
  - Evidence from REF case studies
  - 1. Conceptions of impact
  - 2. Generating impacts
  - 3. Narrating and evidencing impacts
- Frameworks for deciding indicators
  - 1. Vulnerabilities
  - 2. Dimensions
  - 3. 'Toolboxes'

Note: You are welcome to cite/ use the information on these slides, but please refer to the sources provided on each slide.

# Impacts in different groups of disciplines

Conceptions of impact

#### Impact in REF 2014: all subjects (6975 CSs)

- Types of impact varied with disciplines (e.g. Panel A clinical guidance 19%, Panel D media 26%), but pathways diverse in all (3709 pathways)
  - Largest public policy and parliamentary debate impacts
  - Small % of commercial activity (5% CS spin outs, 9% patents, 10% licenses)
  - PER c6% CSs Oxford, Cambridge and Edinburgh / Panel D

#### Stakeholders:

- Panel A patients, NHS, clinicians;
- Panel B: companies, manufacturers, engineers;
- Panel C: children, communities, governments, workers, banks, unions;
- Panel D: students, schools, teachers, museums, curators, writers, journalists

(King's College, 2015)

#### Impact narratives: medical and health sciences

- Key distinction: basic/ translational research
- Anchor: improved patient care and health outcomes
- knowledge transfer and collaboration with industry
- public engagement with science and research

"I sit as a trustee of probably up to 12 charities, most of which have something to do with medical research. I think that sort of contribution is at least as important as contributions made to government activities. [However] I think it would be intolerable to have to keep a detailed account of all such activities and how would they be ranked relative to each other." and "would indeed be inhibiting of such activity"

"impact assessment needs to consider carefully the various stages of translational research so as to award credit correctly to those who have devised and brought to clinical evaluation new interventions, rather than giving disproportionate credit to those who undertake late stage evaluation of technologies invented by others."

#### Medical schools

- Outcome-based indicators and translational research
- Social accountability strategies (Awases et al, 2010; Woolard and Boelen 2012)

"the obligation to direct their education, research and service activities towards addressing the priority health concerns of the community, region, and/or nation they have the mandate to serve. The priority health concerns are to be identified jointly by governments, health care organisations, health professionals and the public" (WHO 1995)

#### Impact narratives: sciences

- Key distinction: applied/ non-applied
- Anchor: contributions to a) solving problems; b) the general stock of disciplinary and generic knowledge
- Commercial and technological advancement
- Communicating passion
- Transferring methods and techniques

In [this field of] research there is NO immediate commercial impact. But we don't have the luxury of astronomy or astronomers, where they can make ANY picture of the galaxy look quite fascinating. There's always the public interest, right? So this is how we fall between the two extremes: the attraction of science for science's sake, and commercialisation. (earth science interview).

#### Social sciences

- **Key distinction**: types and modes of research
- Anchor: societal relevance
- Inter- and multi-disciplinarity
- Policy influence, service uptake, educational engagement, methodological transfer, public influence, visibility
- User engagement and co-construction.

Forget the new buzz-word about impact — if you were talking to me a decade, or even two decades ago, I would have said the most important thing for my research is, does it have an impact on policy, which in turn has an impact on people, or on the well-being of people. That's what my research is about. (social sciences interview)

#### Professional schools

- Nexus teaching-research
- Innovation, professional education and entrepreneurship (vs consultancy and commercialisation)
- Infrastructure for KE and network-building
- 'Porous boundaries' (Pettigrew, 2001)

Repositioning in HEIs?

#### Impact narratives: arts and humanities

- **Key distinction**: disciplinary traditions
- Anchor: cultural value and public engagement
- Outreach, educational value, recreational and commercial value, Collective processes
- Creative practice

It's not really the impact of one individual; it's the impact of the whole field, and hundreds and hundreds of people, from all different parts of the world, working on this problem. (humanities interview)

#### Cultural value debates

- Instrumental vs intrinsic value
- Intelligent accountability vs politics of metrics
- Measurable vs. 'ineffable'
- Monetisation vs aestheticisation
- 'High' vs 'low' culture, elite vs mass
- Positive vs 'negative' impacts
- Analogue vs digital

# Impacts in different groups of disciplines

Generating impact

#### The relational spaces for impact in different disciplines

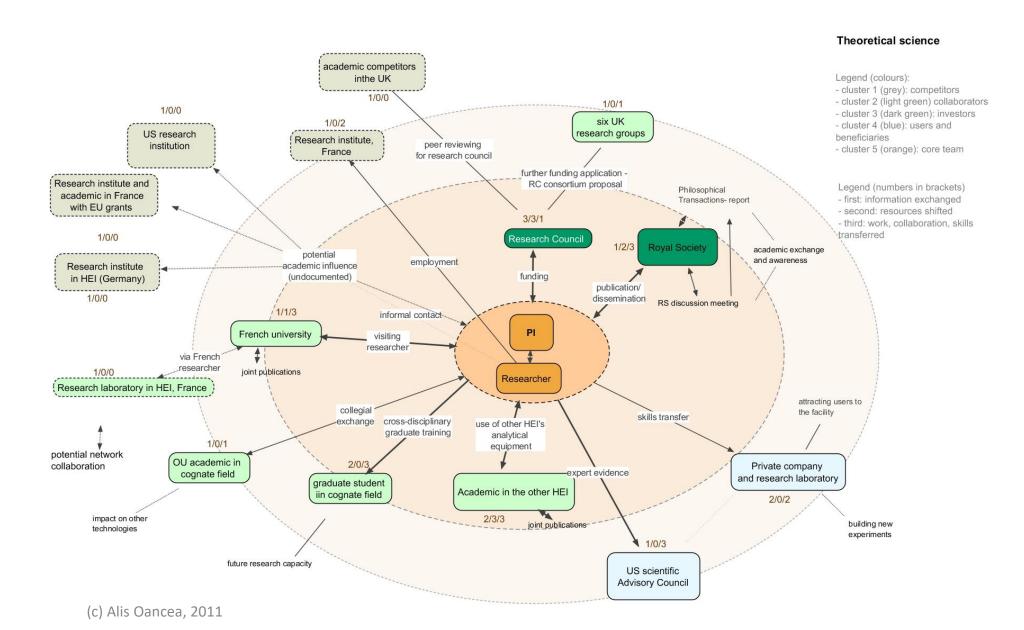
#### Qualitative network analysis

- Nodes
- Relationships: direct/indirect

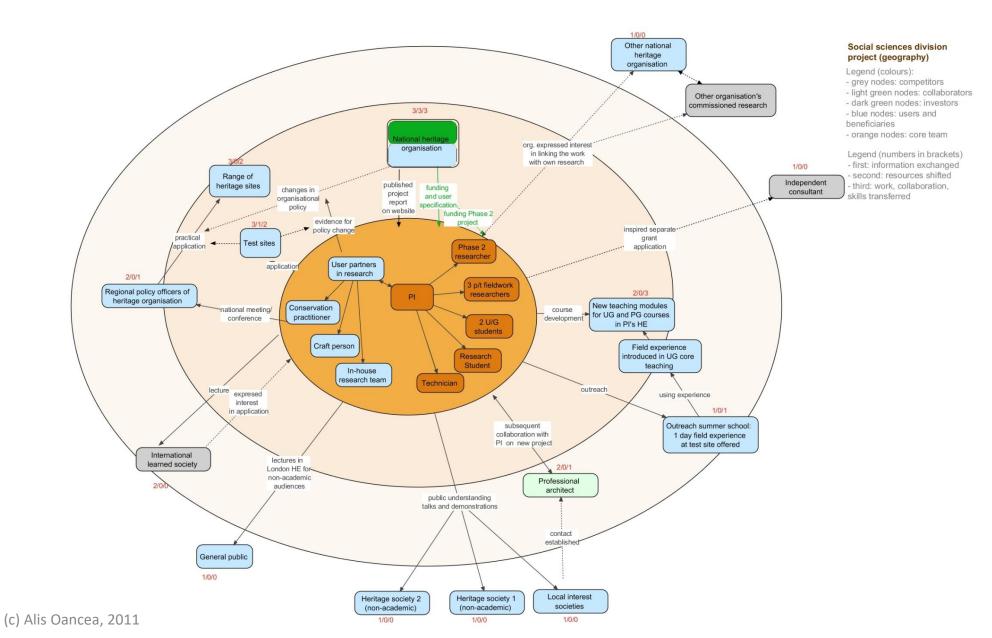
#### •Flows:

- -direction: univocal; reciprocal; undetermined
- -content: information, human resources, physical
- resources
- -intensity: weak; moderate; strong; negative

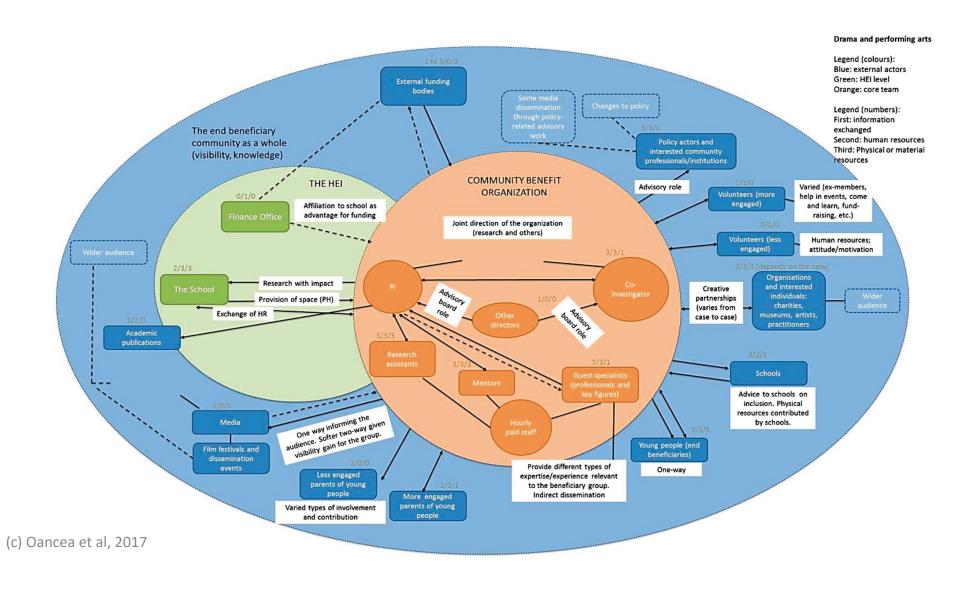
#### Externally funded research project (earth science)



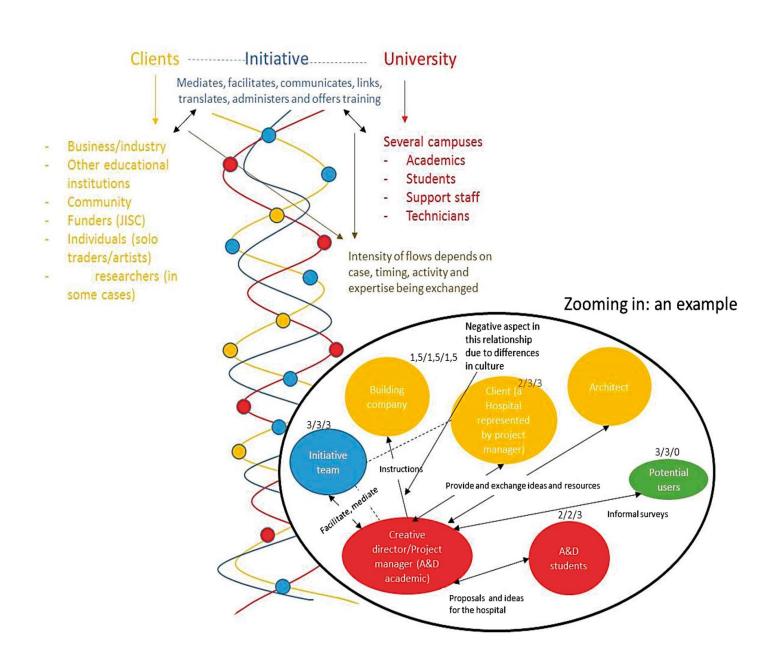
#### User-commissioned research project (geography)



### Community- led project (performing arts)



### Enterprise unit



## Impacts in different groups of disciplines

Narrating and evidencing impact

Type of corroboration source (in n=250+ CSs)			
Testimonials			
Print and broadcast media			
Digital and social media			
International organisations and supranational agencies documentation			
Independent academic and professional publication			
Professional bodies and societies documents			
Other UK national public bodies incl. RCUK			
Industry documents and publications			
UK national and local government documents			
Third sector documents			
Art and culture organisations publications			
Foreign governments and bodies			
Educational and training material			
Parliamentary documents			
Documents relating to spinouts			
CS researcher-produced sources			
Research websites			
Award information			
Web and altmetrics			
Clinical trials			
Court case reports			
Other			

#### Narrative construction of CS

#### Script types

- The money stories: Business success
- The urgency stories: Demand or need driven
- The practical stories: Problem- solution
- The common good stories: Public and cultural interest
- The weight of knowledge stories: Accumulation of compelling evidence
- The technological leap stories: Innovation (cutting edge)

#### Narrative construction of CS

- a) Climactic
- b) Headline
- c) Portfolio
- d) Chronological

(Oancea and Djerasimovic, 2015)

- "We measured [impact] according to the criteria by counting the reviews, itemising all the different stakeholders, showing how it had informed lots of television programmes and showing that it had actually influenced [...] policy"
- "But we have to just be careful that we don't then become prisoners of those metrics."

(principal investigator)

## A different vocabulary?

- Bridging cultural divides
- Creative and connected learning
- Transformative experience leading to changes in behaviour
- Working in conditions of risk, doubt and uncertainty
- Culturally enhanced understanding and practical wisdom
- Experimentation and innovation
- Reframing value
- Impetus for disciplinary maturation

#### UNDERSTANDING

**Engagement and criticality:** 

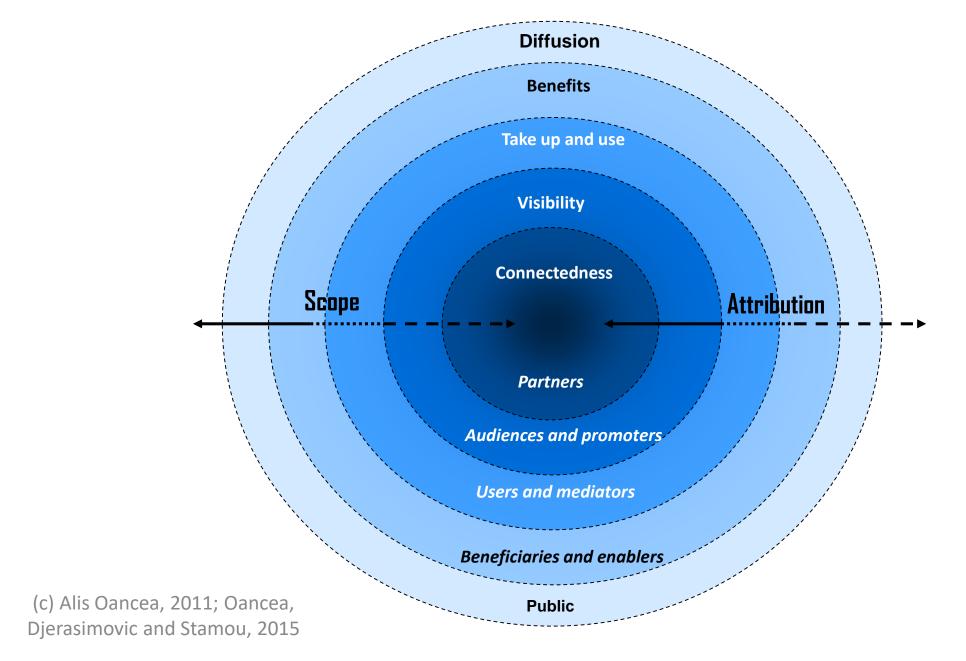
aesthetic experiences, expression and appreciation; (cultural access), engagement, and participation; (cultural) rights, social change, voice and resistance; productive engagement with cultural industries; making marginalised or silenced identities visible and vocal; motivating dialogue and understanding of difference

Personal and interactional enrichment and transformation: personal growth and well-being - being and becoming human; self knowledge and expression; depth of thinking and "widening of intellectual horizons"; release, coping, healing and exhilaration; enjoyment and pleasure; making sense of human action and experience in different material, social and cultural environments

pression,

Connectedness and rootedness: (social and cultural) interpretation, understanding and empathy; social cohesion, sense of connection, belonging and security; sustaining the links with the past and with place; appreciation of cultural identities; recovering past or marginalised material and historical value

### A textured concept of (pathways to) impact



## Frameworks for impact

## Indicators and governance

Meanings	Stable & measurable attributes	Negotiated public judgement
Methods	Design and test metrics	Critical deliberation
Role	Technical ←→	Developmental

#### Risks and caveats of impact metrics

- Instrumentalism: means-ends separation commodification of value
- Simplification: downplaying conceptual complexity and practical serendipity
- Homogeneisation: glossing over diversity (disciplines, modes of inquiry)
- Opacity: obscuring power relations
- Short-termism: unable to capture "sea-change" nature of e.g. cultural shifts
- *Too exclusive*: narrowing of scope for the sake of definitional boundaries
- Too inclusive: broad to the point of being "virtually meaningless"
- Residual: what's left after accounting for more defined forms of value
- 'Macrotising': artificial aggregation of surface/ non-standardised metrics
- *Undevelopment*: weak conceptual network ("contribution", "impact")
- Obsolescence: through association with particular performance regimes
- Validity and reliability issues: proxy indicators

### Vulnerabilities in organisations

- overly tight division of labour;
- expansion of parallel functions;
- division academic/professional;
- micro-management;
- misrecognition of impact and impactful work;
- lop-sided 'partnerships' and resource grabbing;
- attitudinal problems institutionalised condescension, conceit, attention seeking, boastfulness...?

#### Framework for decisions in institutions

#### Think about:

- Goal of monitoring/evaluation
- Mission of research
- Level of assessment
- Disciplinary structures, epistemic cultures and research approaches
- Stakeholders, audiences and beneficiaries
- Research environment

Adapted from framework for open science engagement - Wouters, Rafols, Oancea et al (2019)

# Toolboxes

# **Develop:**

- Capabilities
- Infrastructures
- Exemplars (investments, practices)
- Responsible reward and incentive systems

Adapted from Wouters, Rafols, Oancea et al (2019)

# These slides draw on work published as:

Oancea, A. (2019) Research governance and the future of research assessment. *Palgrave Communications*, 5 (27). <a href="https://doi.org/10.1057/s41599-018-0213-6">https://doi.org/10.1057/s41599-018-0213-6</a>

Wouters, P., Ràfols, I., Oancea, A., Kamerlin, L., Holbrook, J. and Jacob, M. (2019) *Indicator Frameworks for Fostering Open Knowledge Practices in Science and Scholarship*. Expert report, European Commission.

Oancea, A, Florez-Petour, T, Atkinson, J (2018) "The ecologies and economy of cultural value from research", *International Journal of Cultural Policy*. DOI: <a href="http://dx.doi.org/10.1080/10286632.2015.1128418">http://dx.doi.org/10.1080/10286632.2015.1128418</a>

Oancea, A, Petour, TF, Atkinson, J (2017) "Qualitative network analysis tools for the configurative articulation of cultural value and impact from research", Research Evaluation. DOI: <a href="http://dx.doi.org/10.1093/reseval/rvx014">http://dx.doi.org/10.1093/reseval/rvx014</a>

Oancea, A. & Djerasimovic, S. (2015) Findings from in-depth analysis of over 260 impact case studies. Summary report, University of Oxford.

Oancea, A., Djerasimovic, S. and Stamou, E. (2015) Impact and Knowledge Exchange. www.education.ox.ac.uk/our-research/impact/kei-toolkit/

Oancea, A., Florez, T. & Atkinson, J. (2014) *The Cultural Value of Arts and Humanities Research: A Configurative Approach*. Arts and Humanities Research Council.

Oancea, A (2014) Research assessment in the United Kingdom: past experience and current challenges. ZfE - Zeitschrift für Erziehungswissenschaft, 23.

Oancea, A (2013) Interpretations of research impact in seven disciplines, European Educational Research Journal, 12(2), 242-250.

Oancea, A (2013) Buzzwords and values: The prominence of "impact" in UK research policy and governance. Research Trends, 33, 6-8

Oancea, A et al (2012) Assessing research impact in academic clinical medicine: a study using Research Excellence Framework pilot impact indicators. BMC Health Services Research, 12:478.

Oancea, AE (2011) Interpretations and Practices of Research Impact across the Range of Disciplines. Final Report. Oxford University.



# Integrating grand challenges in an

institutional research strategy

Assessing Societal Impact of Research Course

King's College London

Nov 2019



# Evolving expectations! From...



"I was entered at Oxford and have been properly idle ever since."

Edward Ferrars

Sense and Sensibility

Jane Austen, 1811



To...

"To respond to the Grand Challenges, business, academia, civil society and government must work together, bringing their expertise and entrepreneurial spirit, to drive us all towards success."

UK industrial strategy 2018

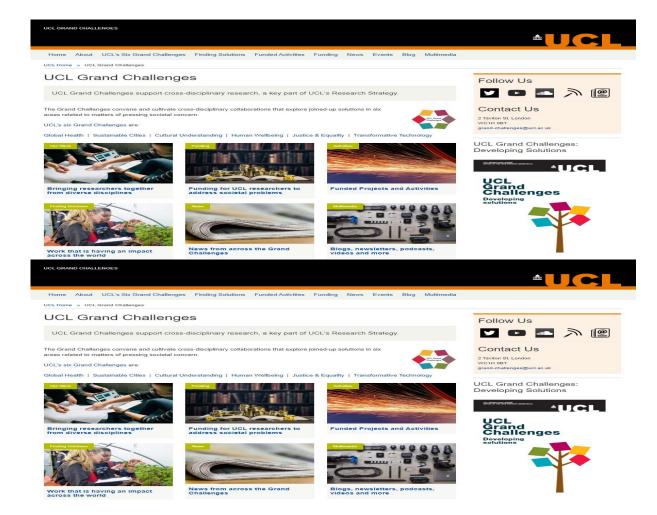
"A primary objective of the National Science and Technology Council is to ensure science and technology policy decisions and programs are consistent with the President's stated goals."

Executive Office of the President of the United States 2019



UCL was one of the first UK universities to develop cross-disciplinary research themes focussed on global challenges:

- 1. Global Health
- 2. Sustainable Cities
- 3. Cultural Understanding
- 4. Human Wellbeing
- 5. Justice & Equality
- 6. Transformative Technology







UK China Malaysia

A-Z

keyword(s)

0

University of Nottingham > Research > Beacons of Excellence

#### Beacons of Excellence - Solving today's global challenges

Securing sustainable food supplies, ending slavery, developing greener transport, and reducing our reliance on fossil reserves are just some of the solutions to the pressing problems we face.

Visit

We are funding six new Beacons of Excellence committed to tackling these global challenges.



Rights Lab

A community with a shared vision of ending slavery in our lifetime.



**Precision Imaging** 

Transforming healthcare with pioneering imaging.



**Future Food** 

Addressing the challenge of feeding an ever growing world population.



**Propulsion Futures** 

At the heart of a revolution in greener transport; electrified propulsion.



Green Chemicals

Securing the sustainable bio-economy of the future.



**Smart Products** 

Technology research to make smarter and trusted products for everyone.



THE CHALLENGE



Approximately 3.5m people die each year due to inadequate water

supply, sanitation and hygiene

Single-layer graphenesis a million times

thinner than a human

consumer electronics

hair and will revolution is health care water and

Transport accounts for a fifth of the UK's carbon emissions

HOW WE ARE TACKLING IT

BP has four senior staff permanently onsite at

the University, giving

them an immediate pipeline to our expertise

billion £60 billion

valued at

Globally, corrosion costs more than \$2tn per year

Just 5.2% o

Businesses that produce **UK** energy and process materials mak in 2013 was provided by

renewable sources

Deep sea platforms drill for oil

up 15% of the UK's GDP

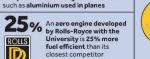
Our 3D characterisation capability is

enabling us to study the properties of new protective coatings for materials

10km below the seabed, at temperatures of more than 200°F and under pressures of 20,000psi

# metres

Salt canopies above drilling sites can be taller than Mount Kilimanjaro



Dalton Nuclear Institute's paper on welding for nuclear new build received more than 230 citation over a decade

> More than 200 researchers working

on graphene and 2D materials

laureates and more than £170m of



current investment

#### WHY MANCHESTER?

than £248m of research projects



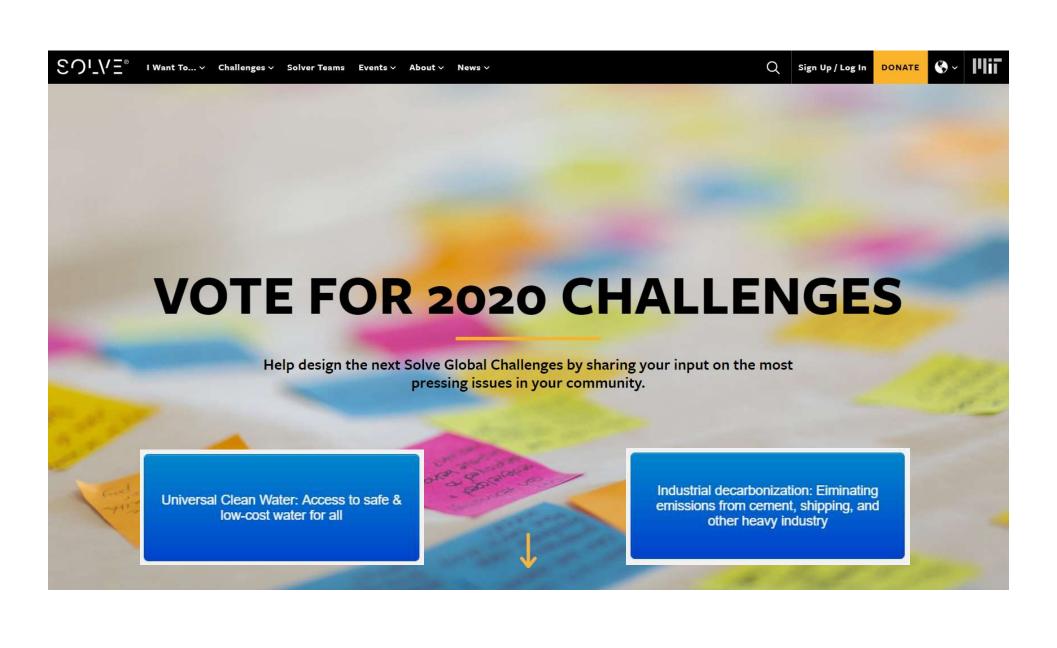
£235m MANCHESTER

Manchester has been chosen as the home to the Henry Royce Institute, a hub to accelerate knowledge and applications of advanced materials for the good of industry and the economy

E61m 64m

200

to the \$100m (£64m) **BP International Centre** for Advanced Materials, the £61m National Graphene Institute and the £60m Graphene Engineering Innovation Centre



### Grand Challenges principles

#### These principles are the guiding aspects of Grand Challenges:

- The aims of Grand Challenges will link strongly to those of the Education Strategy e.g. to encourage research-inspired, innovative, multi-disciplinary, enquiry based learning and improve the employability attributes of our graduates.
- 2. The topics covered will link to the University's HASS and STEM strategies where possible.
- 3. The programme will allow students to co-create some aspects of the Grand Challenges Week.
- 4. Grand Challenges Week will be open to all undergraduate students.
- 5. Grand Challenges will be a challenging, fun and engaging learning experience.
- Challenges will be led by academics. The PGR and the wider academic community (i.e. academics from different disciplines) will be involved and support the Challenges.
- Employers, alumni, honorary graduates, local businesses and the local community will be engaged in Grand Challenges in some form.
- 8. Students from all campuses will have the opportunity to take part in Grand Challenges.

#### **Challenge Topics**

The Challenges for 2019 were:

- > Climate Change
- > Food for Thought
- > Gender Inequality
- > Global Security
- > Mental Health
- > The Case for Earth



#### Grand Challenges 1-5 June 2020



Grand Challenges is a project week in June, in which you work in interdisciplinary groups with other like-minded students to design innovative solutions to real world challenges. Top academics and invited speakers share their views and help you apply your skills and knowledge to a real-life problem. You further develop your transferable skills including team work, presentation skills and project planning. Read more



https://www.ucl.ac.uk/grand-challenges/

https://www.nottingham.ac.uk/research/beacons-of-excellence/

https://www.manchester.ac.uk/research/beacons/advanced-materials/M1849\_Adv\_Materials-large.jpg

https://solve.mit.edu/challenges

https://www.exeter.ac.uk/grandchallenges/

Matching the research workflow to the challenges...

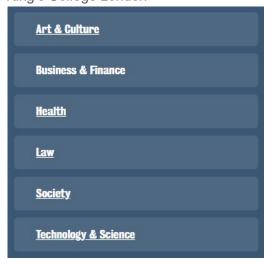


# Curiosity-driven research



## Research is (largely) organised by discipline

#### King's College London



# THE - Times Higher Education Classification

Arts and Humanities Business and Economics Clinical, pre-clinical and health

Computer Science

Education

Engineering and Technology

Law

Life Sciences Physical Sciences Psychology Social Sciences

#### ASJC - All Science Journal Classification

Chemistry

General Chemistry

Chemistry (miscellaneous)

Analytical Chemistry

Electrochemistry

Inorganic Chemistry

Organic Chemistry

Physical and Theoretical Chemistry

Spectroscopy

# FORD - Fields of Research and Development (FORD) Classification

Social Sciences

Psychology and cognitive sciences

Economics and business

Education

Sociology

Law

Political Sciences

Social and economic geography

Media and communications

Other social sciences



## The mission! Sustainable Development Goals (2015)



The research community has responded to these challenges by becoming more connected, collaborative and more focussed on addressing them.



#### The SDGs: targets for impact

- By 2030, reduce the global maternal mortality ratio to less than 70 per 100,000 live births
- By 2030, end preventable deaths of newborns and children under 5 years of age, with all
  countries aiming to reduce neonatal mortality to at least as low as 12 per 1,000 live births
  and under-5 mortality to at least as low as 25 per 1,000 live births
- By 2030, end the epidemics of AIDS, tuberculosis, malaria and neglected tropical diseases and combat hepatitis, water-borne diseases and other communicable diseases
- By 2030, reduce by one third premature mortality from non-communicable diseases through prevention and treatment and promote mental health and well-being
- Strengthen the prevention and treatment of substance abuse, including narcotic drug abuse and harmful use of alcohol

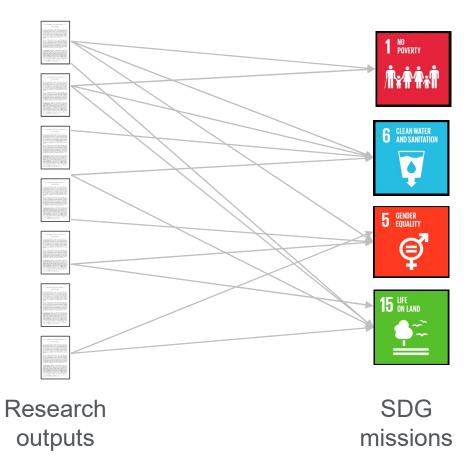




Numerous and distinct diseases

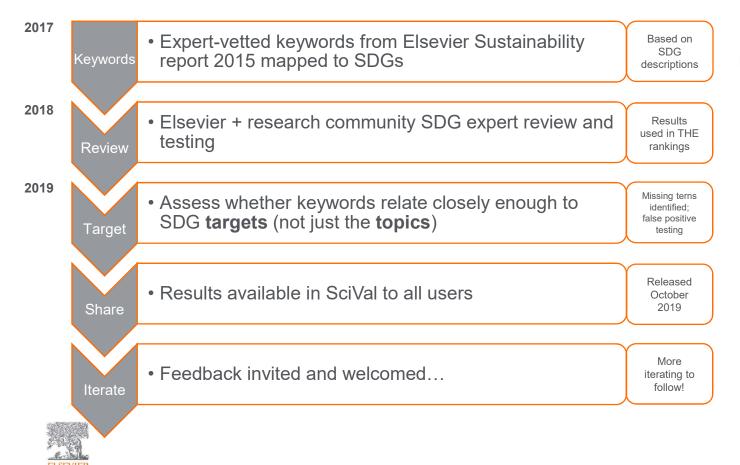
Mix of medicine, social science, economics...

# Linking research to the mission





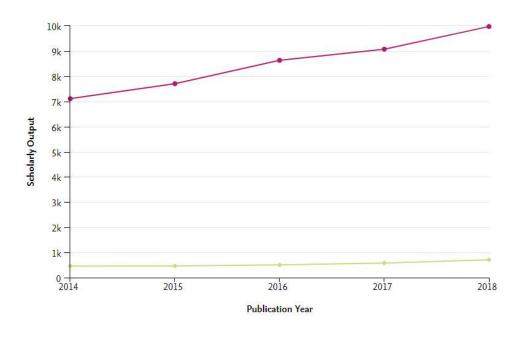
### The SDGs: targets for impact





## Very little research on these topics mentions "SDG"





- SDG 6: Clean Water and Sanitation
- Simple keyword search SDG6

Simple search for demonstrative purposes: (SDG or "Sustainable Development Goal" AND "Clean Water") OR (SDG or "Sustainable Development Goal" AND Sanitation)



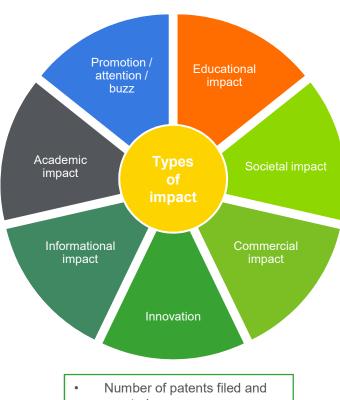
Select the SDG of interest in your Research Area, then go to Trends > Institutions and filter by region and Country to extract a table like the one above. Contact your SciVal support team for help navigating to your institution's data if you cannot quickly and easily locate it.

## Coupling research metrics with defined SDG fields will help institutions refine research and impact agendas

Social media metrics (Shares, likes, +1, Tweets)

- Downloads from Github, RePEc, IRs
- Citations (field normalised, %iles, counts)
- Collaborators on Github
- Full text, pdf, html views on ScienceDirect, Figshare etc

- Wikipedia citations
- Blog mentions
- StackExchange links



granted

- Number of Library holdings (WorldCat OCLC)
- Views on Slideshare
- Plays on YouTube
- Amazon book reviews
- Clinical citations or Health policy/quideline citations
- Government policy citations
- News mentions
- Patent citations
- Academic: Industry partnerships
- Licenses
- Business consultancy activities

### Assessing the Societal Impact of Research: use cases for SDGs

- Examine, demonstrate and benchmark institution contribution and impact on the SDG fields
- Identify the key authors and institutions in the field
- Identify and characterise sub-fields and topics
- Identify partnerships (develop existing partnerships or new ones)



## Examine, demonstrate and benchmark institution contribution and impact on the SDG fields



- Explore the contributions\*, impact and collaboration by **institution** to each SDG, measured in a variety of ways
   \*publications and citing patents
- Benchmark against self (track changes over time), other institutions, and measure contribution to country
- · View into the list of publications
- Set up performance measures for regular reporting

Institution		Scholarly Output ↓	Citations per Publication ✓	Field-Weighted Citation Impact ✓
University of Oxford		224	12.0	3.02
London School of Hygiene ar	nd Tropical Medicine	220	21.8	4.01
University College London		209	14.0	3.55
King's College London		208	15.9	3.31
■ World Health Organization		167	15.3	3.14
Ghent University		149	16.9	3.97
University of Bristol		149	14.8	3.52
The London School of Econo	mics and Political Science	138	16.2	4.10
Performance				+ Add to
Scholarly Output 🔅	Field-Weighted (	Citation Impact	\$ Internation	onal Collaboration 🕸
208	3.30		72	
				_



Select the SDG of interest in your Research Area, then go to Trends > Institutions and filter by region and Country to extract a table like the one above. Contact your SciVal support team for help navigating to your institution's data if you cannot quickly and easily locate it.

## ➤ Identify and characterise sub-fields and topics



- Explore word clouds of keyphrases:
  - Identify trends over time for keyphrases
  - Examine and demonstrate institution-level contribution to each keyphrase



A A A relevance of keyphrase | declining A A A growing (2014-2018)



#### Scopus queries available for all SDGs

Contributor(s): Bamini Jayabalasingham, Roy Boverhof, Kevin Agnew, Lisette Klein



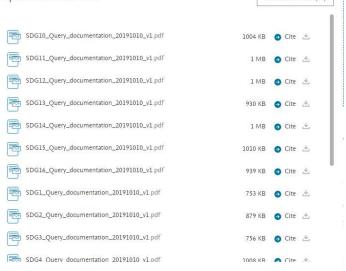
Download all files (17)

#### Description of this data

In an effort to identify research that supports the UN SDGs, Elsevier has generated a set of Scopus queries related to each of the SDGs.

In this dataset, you will find documentation describing how each of the Scopus queries were created along with a collated list of the queries.

#### Experiment data files



SDG15: Protect, restore and promote sustainable use of terrestrial ecosystems, sustainably manage forests, combat desertification, and halt and reverse land degradation and halt biodiversity loss



#### Original search string: 409,711 document results

TITLE-ABS-KEY((biodivers\* OR bio-divers\* OR bioeconom\* OR bio-econom\* OR {biological production} OR deforest\* OR desertif\* OR {earth system} OR {ecological resilience} OR ecosystem\* OR eco-system\* OR {food chain} OR {food chains} OR {threatened species} OR {endangered species} OR {extinction risk} OR {extinction risk} OR poach\* OR {wildlife product} OR {wildlife products} OR {wildlife traffic} OR {wildlife market} OR {wildlife market} OR {wildlife trafficking} OR {invasive species} OR {alien species} OR {land uses} OR {land use} OR {land conservation} OR wildlife trafficking} OR {mountain\* OR drvland\*) AND PUBYEAR BEF 2018 AND PUBYEAR AFT 2012

#### Research string after second (and last) update: 97,814 document results

#### TITLE-ABS

KEY ((terrestrial OR land OR inland OR freshwater) AND (biodivers\* OR {species richness) OR bioeconom\* OR bio-econom\* OR (biological production) OR deforest\* OR desertif\* OR (earth system) OR (ecological resilience) OR ecosystem\* OR eco-system\* OR (trophic cascade) OR (trophic level) OR (trophic web) OR (threatened species) OR (endangered species) OR (extinction risk) OR {extinction risks} OR poach\* OR {wildlife product} OR {wildlife products} OR {wildlife traffic) OR (wildlife market) OR (wildlife markets) OR (wildlife trafficking) OR (invasive species) OR (alien species) OR (land uses) OR (land use) OR (land uses) OR (land degradation) OR (soil degradation) OR (LULUCF) OR "forest" OR (land conservation) OR wetland\* OR mountain\* OR dryland\* OR (mountainous cover) OR (protected area) OR (protected areas) OR (REDD) OR (forest management) OR (silviculture) OR (timber harvest) OR (illegal logging) OR (slash-and-burn) OR (fire-fallow cultivation) OR (tree cover) OR (soil restoration) OR (land restoration) OR (drought) OR (sustainable land management) OR (mountain vegetation) OR (habitat restoration) OR (Red List species) OR {Red List Index} OR {extinction wave} OR {habitat fragmentation} OR {habitat loss) OR (Nagoya Protocol on Access to Genetic Resources) OR (genetic resources) OR (biological invasion) OR (biodiversity-inclusive) OR (forest stewardship council) OR {rainforest alliance} OR {forest certification} OR {forest auditing) OR (ecotourism) OR (community-based conservation) OR (community based conservation) OR (human-wildlife conflict) ) ) AND PUBYEAR < 2018 AND PUBYEAR > 2012



https://data.mendeley.com/datasets/87txkw7khs/1

rangeland wildfires climate change soil moisture United States fire modeling landscapes conservation eddy covariance soil land cover climate ecosystem forest inventory foregon agricultural ecosystem trees inventory forest fires California wildfire tree watershed ecosystems forest landscape ecosystems climatic zones ecosystem service Landsat and use environmental restoration land use change watersheds

land use planning land degradation

Europe land use change farm

Europe land use change farm

stakeholder land use change farm

economics

Netherlands data land use ecosystems tropical forest ecosystem landscape forest climate food security smallholder

ecosystem services forests modeling

Europeans

crop ecosystem services forests modeling

Europeans

crop ecosystem service landscapes

biodiversity soil ethiopia and cover land cover conservation land management

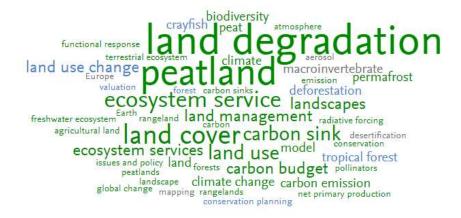
mapping climate change management

agricultural intensification

issues and policy

terrestrial ecosystem aboveground biomass forests

Elephantidae land cover tropical forest deforestation Panthera leo agriculture biodiversity conservation catchment biome landscapes climate change adaptation climate Africa water Holocene landscape ecosystem services and land use change freshwater species richness tropical forests global change woodland land degradation national parks



## Topics & Topic Clusters

+ Add to Reporting Export >

Between 2014 to 2018, Publications at the United States Department of Agriculture within SDG 15: Life on Land | 2014 to 2018 has contributed to:

○ 212 Topic Clusters Learn about Topics and Topic Clusters >

759 Topics

Wheel

All Topics

Filter by keyphrase(s)

Q

		In this Publication Set		
Topic	Scholarly Output 🔱	Publication Share	Field-Weighted Citation Impact	Prominence percentile
Fire; Wildfire; Fuel treatment T.1825	103	10.93% 🛦	2.64	98.871
Tree; Trees; Street tree T.4552	36	3.70% ▲	2.33	98.313
Watersheds; Watershed; Water assessment T.1993	34	2.22% 🛦	2.03	99.540
Forests; Forest; Forest landowners T.9560	33	8.09% 🛦	1.48	90.848
Optical radar; Forest inventory; Tree detection 7.1452	25	1.72% 🛦	2.06	99.367
Landsat; Land cover; Cover maps T.1780	25	1.16% 🛦	5.02	99.725
Eddy covariance; Net ecosystem exchange; Carbon flux T.2183	23	2.67% 🛦	2.16	98.486
Quercus; Forest; Red maple T.4702	23	7.42% 🔺	1.39	87.977

Topics & Topic Clusters + Add to Reporting Export V

Between 2014 to 2018, Publications at the University of Leeds within SDG 15: Life on Land | 2014 to 2018 has contributed to:

☐ 112 Topic Clusters Learn about Topics and Topic Clusters ¬

248 Topics

Wheel

All Topics

Filter by keyphrase(s)

	In this Publication Set			Worldwide
Торіс	Scholarly Output 🔱	Publication Share	Field-Weighted Citation Impact	Prominence percentile
Tropical forest; Tropical forests; Rainforest T.30219	17	5.67% 🔺	3.99	97.317
Dissolved organic carbon; Dissolved organic matter; Matter DOM T.5026	14	2.40%	1.42	95.071
Ecosystem service; Ecosystem services; Multiple ecosystem T.2046	11	0.39% 🔺	3.55	99.932
Desertification; Land degradation; Soil degradation T.28348	10	3.32% 🔺	3.30	91.537
Landsat; Land cover; Cover maps T.1780	9	0.42% 🔺	1.69	99.725
Forest; Deforestation; Community forests T.2790	9	0.67% 🛦	2.55	98.900
Bee; Pollinator; Wild bee T.2041	8	0.40% 🔺	4.46	99.814
Climate; Climate change; Negative emissions T.3285	7	0.41% 🔺	3.61	99.922

#### **Conclusions**

- 1. University research is increasingly expected to explicitly drive forward national or global policy objectives
- 2. Research is often not *organised* around these objectives, it is possible to **link research outputs to the missions**
- Analyses based on this linked data can help universities finetune their research and impact agenda
- 4. The SDG fields that Elsevier has defined are just one way of looking at each of the SDGs and will **iterate and evolve over time** and with use
- 5. Defined SDG fields, coupled with the assessment of research that SciVal can power will hopefully help researchers and institutions **track and demonstrate progress**, as well as **finding new people to collaborate with and new areas to investigate**





# Thank you



The basket of metrics through SciVal...

Metric theme	Metric sub-theme	Metrics in SciVal	
A. Funding	Awards	Awards Volume	
B. Outputs	Productivity of research outputs	Scholarly Output     Number, Type and Growth     Subject Area Count	
	Visibility of communication channels	Publications in Top Journal Percentiles	
C. Research Impact	Research influence	<ul> <li>Citations Count</li> <li>Field-Weighted Citation Impact</li> <li>Outputs in Top Citations         Percentiles</li> <li>Citations per publications</li> <li>Cited publications</li> <li>h-indices</li> <li>Number of citing countries</li> <li>Views Count</li> <li>Outputs in Top Views         Percentiles</li> <li>Views per Publication</li> <li>Field-Weighted Views         Impact</li> </ul>	
	Knowledge transfer	<ul> <li>Academic-Corporate Collaboration</li> <li>Citing-Patents Count</li> <li>Patent-Cited Count</li> </ul>	
D. Engagement	Academic network	Collaboration     Collaboration Impac	
	Non-academic network	Academic-Corporate Collaboration     Academic-Corporate Collaboration Impact	
	Expertise transfer	Academic-Corporate Collaboration      Citing-Patents Count     Patent-Cited Count	
E. Societal Impact	Societal Impact	<ul> <li>Academic-Corporate         Collaboration</li> <li>Citing-Patents Count</li> <li>Patent-Cited Scholarly Output</li> <li>Patent-Citations Count</li> <li>Mass Media</li> <li>Media Exposure</li> <li>Field-Weighted Mass Media</li> </ul>	

#### The basket of metrics is diverse and available for all entities

Theme	Sub-theme
A. Funding	Awards Can I support my research?
B. Outputs	Productivity of research outputs How productive am I?
	Visibility of communication channels What is the impact of the channels that my outputs are published in?
C. Research Impact	Research influence How are my outputs used in academia?
	Knowledge transfer How are my outputs used in industry?
D. Engagement	Academic network How good is my collaboration network within academia?
	Non-academic network How good is my collaboration network outside academia?
	Expertise transfer How do I transmit knowledge to others within academia?
E. Societal Impact	Societal Impact What is my wider impact?

Outputs e.g. article, research data, blog, monograph

Custom set of outputs e.g. funders' output, articles I've reviewed

Researcher or group

Institution or group

**Subject Area** 

Serial e.g. journal, proceedings

#### Portfolio

e.g. publisher's title list

**Country or group** 

