

Parallel Session (K.11)

Science funding policy for effective impact

A network diagram with red and black nodes connected by lines, set against a light red background.

Societal Impact of Social Sciences,
Humanities & Arts Conference
2- 4 November, Stockholm

Science funding policy for effective impact

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Research funding policy for effective impact

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2 November 2022
AESIS SSH Impact Conference | Stockholm



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IN SCIENCE AND TECHNOLOGY



Ministry of Higher Education
and Science – Denmark



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Knowledge Broker for Algorithms, Data and Democracy (2021-2030)



AALBORG UNIVERSITY

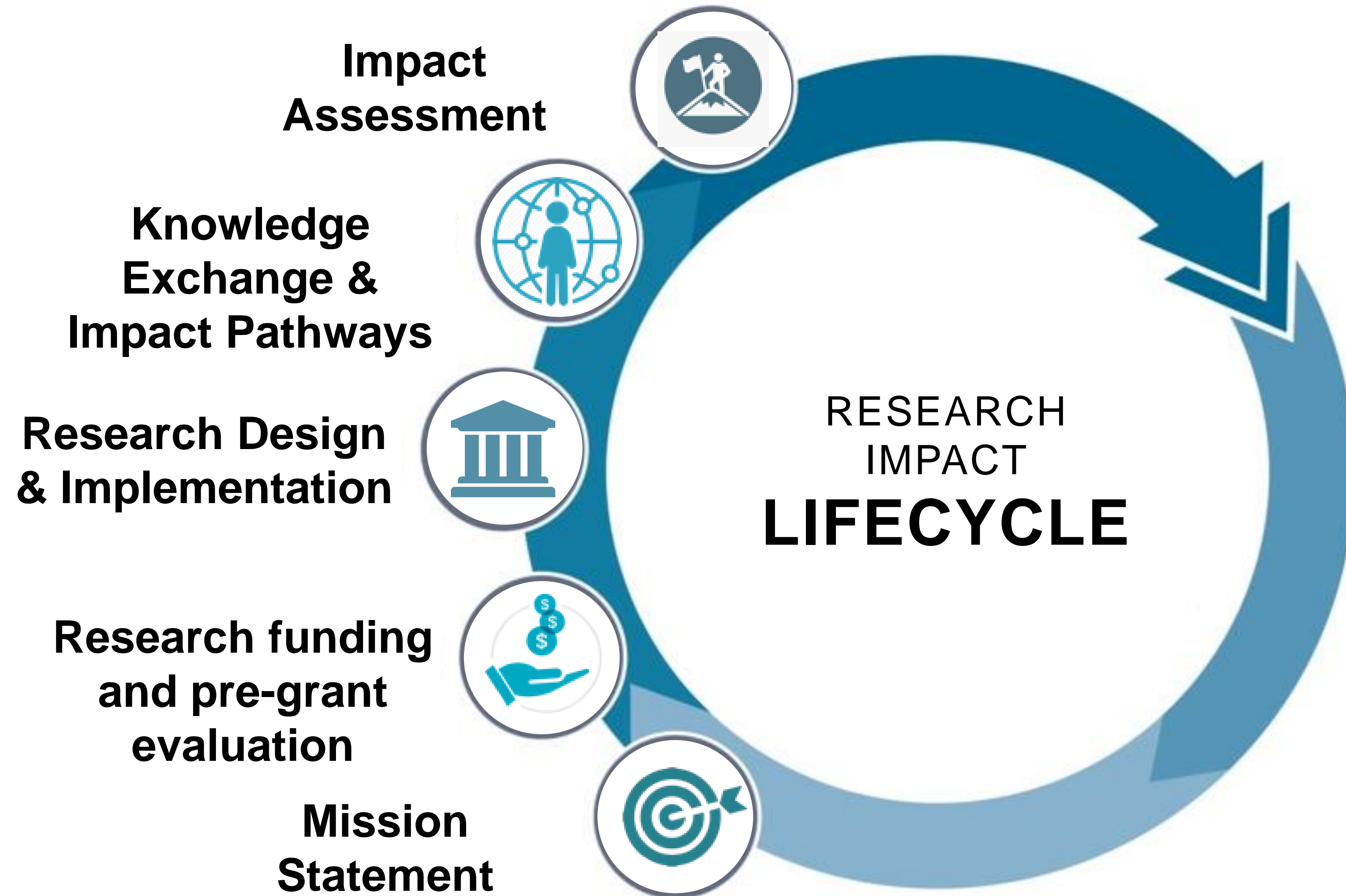
An integrated “life cycle” approach to impact strategy and assessment



Four “I”s of Research Impact

1. **INVESTING IN IMPACT.** Alignment of mission statement and impact strategy (‘theory of change’) at university & funding agency level.
2. **INCENTIVES.** Without emphasis on incentives, recognition and rewards, most societal impact activities will not occur.
3. **INTERMEDIARIES.** Professional support and specialist skill-sets, training and needs to be cultivated and provided by knowledge brokers.
4. **INFRASTRUCTURE.** Reliable and responsible impact assessment depends on data about impact to learn from best practices and shape new strategies





Algorithms, Data & Democracy (ADD)



Open Call for 10 year funding programme

Mission-driven research: The future of democracy in the era of algorithmic governance?

SSH & STEM co-lead: obligatory

Build-in 'Knowledge Brokering' unit: Special research unit tasked with knowledge exchange and brokering

13 mill Euro / 100 mill DKK

Kick off: 9 April 2021



Scope and mission of ADD

Research scope

“Algorithms are controlling an ever-increasing part of society and our daily lives. But what are they actually doing for us – and to us? (...) The ADD project will provide insights into how we can use algorithms sensibly in our democracy”

Predicted impact

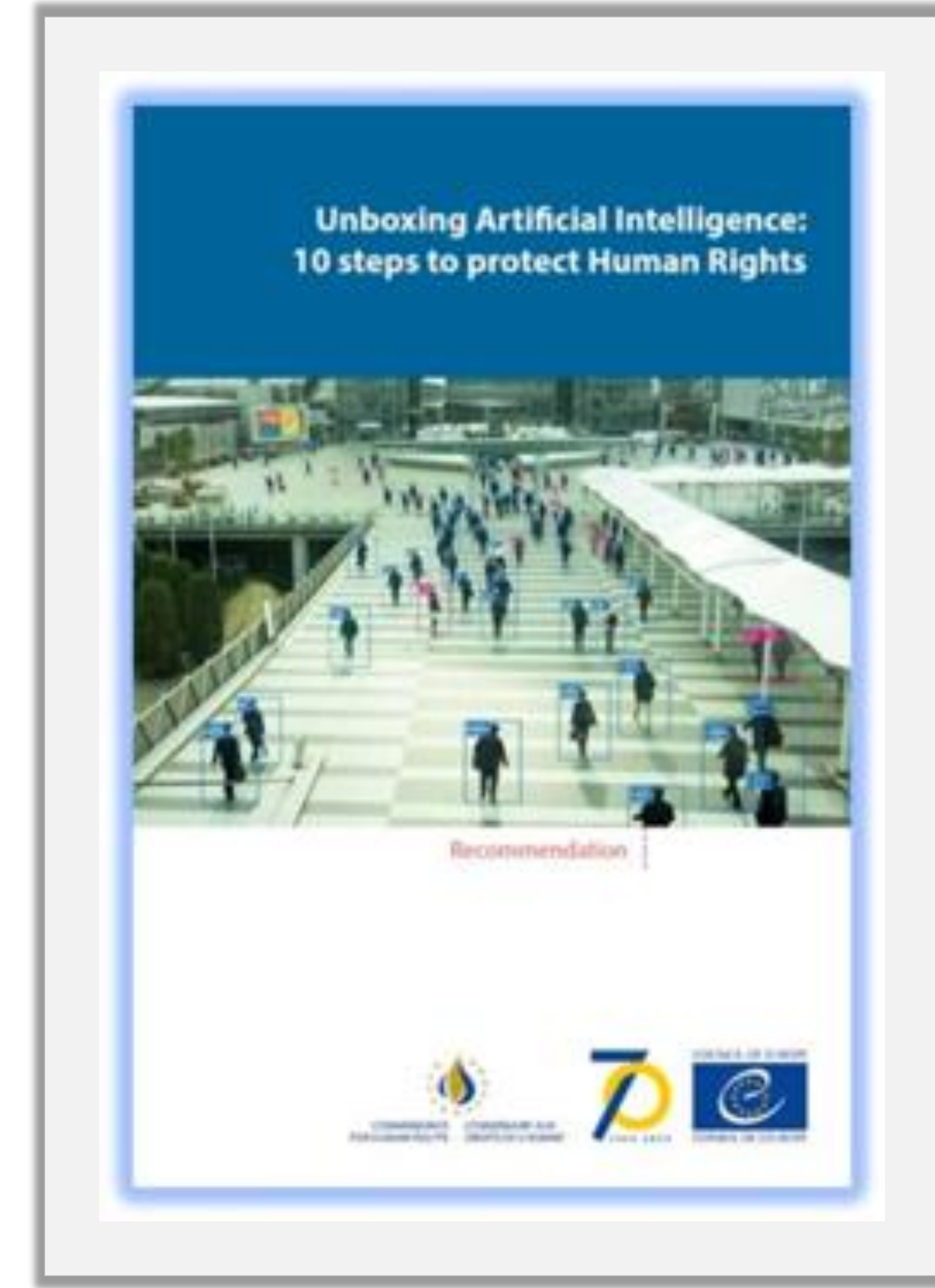
“The ADD project will provide insights into and explain these connections at the same time as developing both technological solutions and societal recommendations aimed at restoring faith in public institutions”

(VILLUM FOUNDATION 2021)

Urgent need for knowledge translation

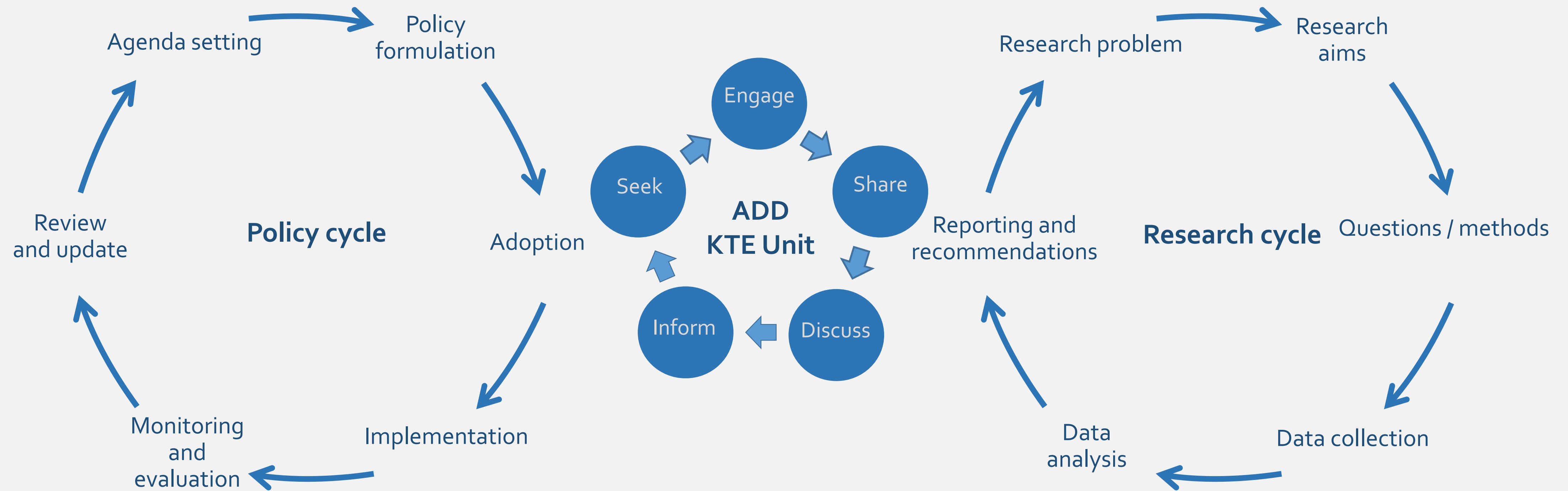
ADD

Algoritmer, Data
& Demokrati



ADD Knowledge Translation and Exchange Unit

- Implementing value-sensitive technologies requires that decision-makers work together with end-users, researchers and developers
- Responsible AI needs **knowledge brokers**:
 - **Intermediaries** who can translate technical jargon to decision-makers who can utilize it to make policy change
 - **Intermediaries** who can translate between social and technical sciences
 - **Intermediaries** who can accelerate impact, facilitate communication plans, cultivate partnerships, map knowledge needs, and translate into practice.



“The evaluation gap is the phenomenon... that the criteria in assessments do not match the character or goals of the research under evaluation or the role that the researcher aims to play in society.”

Wouters 2014

Thank you for the attention

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Supported by

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Research Evaluation, 2021, 2020, 4-21
doi: 10.1080/17445019.2021.1910003
Special section

OXFORD

Methods for mapping the impact of social sciences and humanities—A literature review

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Abstract

This article explores the current literature on ‘research impact’ in the social sciences and humanities (SSH). By providing a comprehensive review of available literature, drawing on national and international experiences, we take a systematic look at the impact agenda within SSH. The primary objective of this article is to examine key methodological components used to assess research impact comparing the advantages and disadvantages of each method. The study finds that research impact is a highly complex and contested concept in the SSH literature. Drawing on the strong methodological pluralism emerging in the literature, we conclude that there is considerable room for researchers, universities, and funding agencies to establish impact assessment tools directed towards specific missions while avoiding catch-all indicators and universal metrics.

Key words: research evaluation; impact assessment; social sciences and humanities; literature review

Introduction

Across the international research and innovation community there is a growing interest in how to assess and communicate the diverse impacts of scholarly work. Being able to demonstrate the societal uptake and value of social sciences and humanities (SSH) research is increasingly seen as a crucial component in ensuring accountability and transparency (Dunfield et al. 2014; Morton 2015; Greenhalgh et al. 2016; Ravenscroft et al. 2017). In recent years, the notion of ‘research impact’ has gained significant traction within the science system, and has been embedded in research policies, funding instruments, and evaluation engines (e.g. Rip 2000; Holbrook and Fredman 2013; Bornmann 2013; Buchanan 2013; Langfeldt and Scordano 2015; Derrick and Samuel 2017; Holbrook 2017; Reale et al. 2017). In this article, we provide an overview of the existing methods for broader impact assessments across SSH.

A key finding of the literature review is that different funding agencies, policy-makers, and research organisations operate with different models and methods for impact assessment. Impact simply does not mean the same thing across institutions, geographies, and research cultures. This conceptual diversity is reflected in the number of methods and frameworks which are used to track, demonstrate, assess, and incentivise the impact of research across the European SSH community and beyond. The diversity of the impact agenda in SSH reflects a broader trend within impact studies. The evolution of impact studies has shown that public research organisations do not just release their benefits to society following a linear model of growth and application. Instead, real-world effects of research occur at different stages in the research process, extending from knowledge dissemination and knowledge mobilization to long-term applications and dynamic effects.

Much progress has been made in measuring both the outcomes of research and the processes and activities through which these are achieved (Greenhalgh et al. 2016). However, as we demonstrate in this article, there exists a multitude of approaches to impact assessment reflecting the complex and multi-dimensional ways in which research is taken up by society. As Rafols (2017) noted at the Science, Technology, and Innovation Indicators Conference in 2017: ‘The contributions of science to society are so varied, and mediated by so many different actors, that indicators used in impact assessment cannot be universal. Instead, they need to be developed for given contexts and used alongside qualitative assessment’. Assessing the impact of social science and humanities is indeed challenging. The ways in which research is taken up, used, and reused in real-world settings mean that linking research processes or outputs to wider changes is difficult, and timescales are hard to predict (Morton 2015). However, rather than being paralyzed by the lack

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Impact's Golem

AND ITS RELATIONSHIP WITH
RESEARCH CULTURE SOCIETY

GEMMA DERRICK

UNIVERSITY OF BRISTOL

 **@GEMMAEDERRICK**

Impact is an instrument

UK definition of excellence for REF2014/21

"...an effect on, change or benefit to the economy, society, culture, public policy or services, health, the environment or quality of life, beyond academia."

UK research councils

"Economic and societal impact is the demonstrable contribution that excellent social and economic research makes to society and the economy, and its benefits to individuals, organisations and/or nations. "

Australia

"...the contribution that research makes to the economy, society, environment or culture, beyond the contribution to academic research."

The Netherlands

"what relevance to, impact on or added value for society the research unit's work has (had) or is being (has been) demonstrated at regional, national or international level during the assessment period and, where applicable, continuing into the near future."

Norway

As with the UK



Evaluation

EX-POST & EX-ANTE
DEMAND DIFFERENT
APPROACHES



Ex post versus Ex ante: Different rules

EX-ANTE

- Focused on the potential of the end-product muddled with indicators of trust and feasibility
- An incomplete implementation process, so evaluations are preliminary and incomplete
- Bias around 'value' of impact less influential
- Evaluators have experience assessing 'feasibility'
- About **Trust**

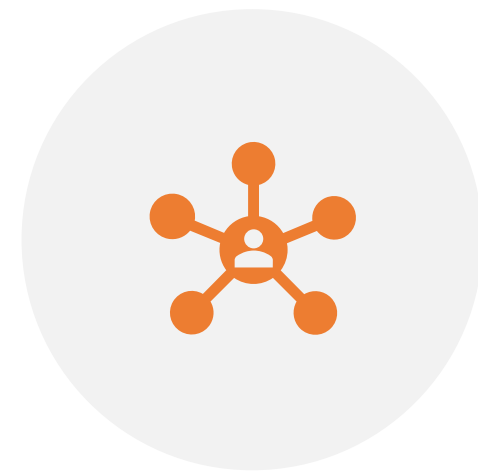
EX-POST

- Exercise in assigning value to an existing judgement
- Assessments are essentially value judgements
- Balance between [1] What society needs; vs. [2] What your research has to offer.
- The evaluator determines [1]
- Applicant/report tries to estimate [1] and match it with [2]

Ex-ante is inexact

Derrick, G., Benneworth, P. (under review) The identification and understanding the effect of linguistic tools in proposals on panel orientations to ex-ante impact evaluation.

Inspirations



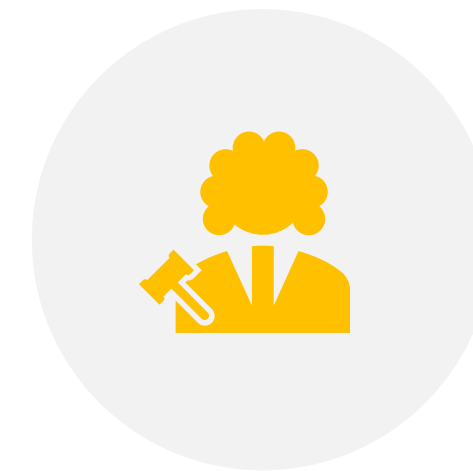
LINGUISTIC OR ILLUSTRATIVE TOOLS THAT EVOKED A WIDER NON-ACADEMIC RELEVANCE TO THE PROJECT WITHOUT NECESSARILY LINKING DIRECTLY TO THE PROJECT ITSELF.

Promises



CLAIMS THAT THE RESEARCH WOULD HAVE IMPACTS FOR SPECIFIC USERS THAT DID NOT ALLOW FOR THE POSSIBILITIES THAT THEY WOULD NOT BE DELIVERED.

Qualifiers



CLAIMS THAT GROUNDED INSPIRATIONS INTO CONTEXTS AND SOFTENED PROMISES AS ASPIRATIONS TO BE WORKED TOWARDS WITH THE NECESSARY CAPACITY TO DELIVER THAT.



Derrick, G. (under review) An ethnographic analysis of the functional and evaluative restrictions in peer review panels conducted virtually. *Science and Public Policy*.



Note. This is **The Muppet Show**, and NOT an actual peer review panel debate.

Inspirations act on 2 levels for impact

We can use this to develop guidelines for applicants and evaluators

Different from actions on traditional impact/ excellence as not devoid of emotion aka. appeal to researchers' 'human' side **cough**

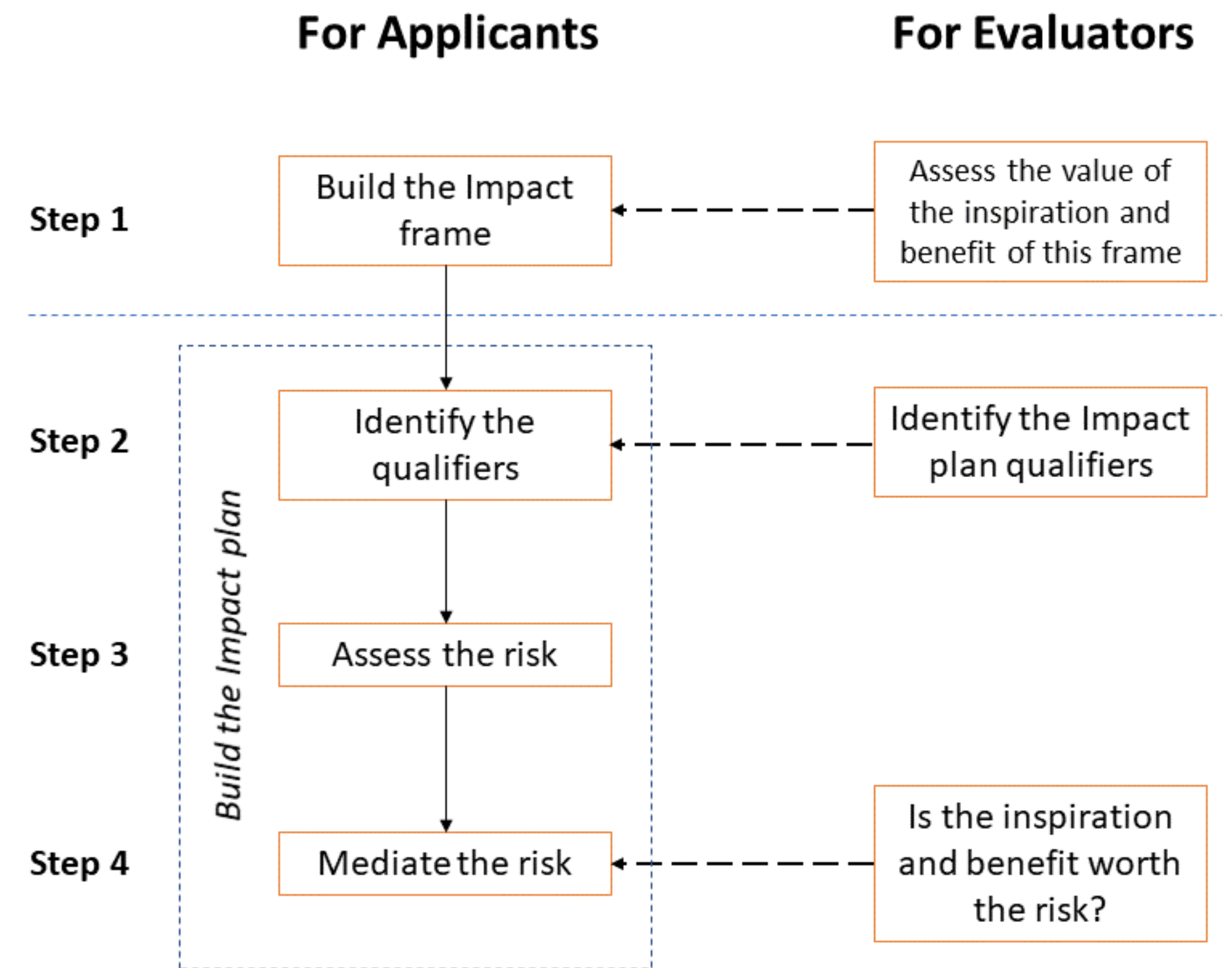


On applicants when constructing the impact narrative within proposals; and



On evaluators and panels in mediating against notions of risk perceived within proposals

Decision for applicants and assessment points for evaluators



Careers

PROTECT OR DISCIPLINE
THE NEXT GENERATION





Tensions for the ECR in impact

Balaban, C., Wroblewska, M., Derrick, G. (in press) The conflict of the Impact agenda: Early career researchers and planning for a future in the academy. Research Evaluation.

- ECR's as **SAVVY IMPACT INSTRUMENTALISTS**
- Tension between what is wanted, and what is rewarded.
- Research system denies ECRs **POWER & AGENCY**

As an ECR there is a lack of power to change the system

- ECRs don't set the rules, nor are the rules set with them in mind
- They rarely evaluate (verb) so cannot influence new markers of excellence that reflect their research motives



**THE DANGERS
OF IMPACT
IGNORANCE**

Grimpack

Post truth (MacIntyre, 2019)

How we arrived in a post-truth era, when "alternative facts" replace actual facts, and feelings have more weight than evidence.

Uncertainty in policymaking and unintended consequences (Oliver et al, 2019)

All policymaking reflects the ideology and choices of those in power at that time

Epistemic risk (Sahlin & Persson, 2014)

Uncertainty due to gaps in knowledge, and the risk of different forms of knowledge being used to provide explanations

Implementation gap risks

Morally targeted use of evidence (Haynes & Derrick et al, 2011) increases the risk of Grimpack

Categories of Grimpect



Public/private fraud

Lost of control

Had an intended negative effect

Scientific misconduct

Unnaturally influence public (campaigns/public opinion)

Silenced "experts"

Tension between political versus scientific value

Value linked with political ideology

Disproportionate research focus based on disease burden

Establishment of anti-evidence advocacy group

Establishment of false economics and/or public campaigns

Changed ways of thinking

Influenced high level government debate through decrease in trust

Contributed to increasing inequality in society

Conflict of interest between the researcher and direct stakeholders

Not all impact benefits society

And this is okay.

- What is not okay is that;
 - (1) Conceptualisations and definitions of impact remains blind to grimact; and
 - (2) No space in measurement or evaluation of impact for negative scores
- Grimact exists in the space **between impact and reward**, where the nature and value of societal benefits are in flux and continually contested
- Grimact is a perfect storm of foreseeable and controllable situations, such as;
 - Academic misconduct
 - Lack of control
 - Miscommunication and misuse
 - Partnership breakdown



Thank you.



gemmaederrick



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A decorative background at the top of the slide featuring a network diagram with red and black nodes connected by thin lines, set against a light red gradient.

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Jenny Björkman

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RIKSBANKENS JUBILEUMSFOND

FOR THE ADVANCEMENT OF THE HUMANITIES AND SOCIAL SCIENCES

Samverkan or impact?



Forskningssamverkan

- ▼ Forskningssamverkan
- Adjungerad doktorand
- Akademiska värden
- Aktionsforskning
- Behovsdriven forskning
- Deltagarbaserad forskning
- Externfinansiering
- Forskningsinfrastruktur
- Forskningskommunikation
- Forskningssamverkan
- Följeforskning
- In-kind finansiering
- Läraryrskommissionen
- Löpande utvärdering
- Medborgarforskning
- Mottagarkompetens
- Personrörlighet
- Påverkansarbete
- Samfinansiering
- Samhällsrelevant forskning
- Samproduktion
- Sampublicering
- Samverkanslektor
- Strategiska partnerskap
- Tillämpad forskning
- Uppdragsforskning
- Utmaningsdriven forskning
- Öppen vetenskap

Impact through a strategy for collaboration and public engagement, i.e. samverkan



- Support the eco-system
- Support the researchers:
 - * bottom up
 - * top down



Support to the eco-system

- Platforms
 - Research journalism, editing, pod-casts, organizations in between, areas for meetings, decision makers and members of Parliament
- RJ Flexit – research collaboration and knowledge exchange



Support the researchers – bottom up

- Possibility to apply for collaboration, research communication and public engagement
- Special grant to RJ Project
- Support of summaries in booklets and conferences in RJ Programs



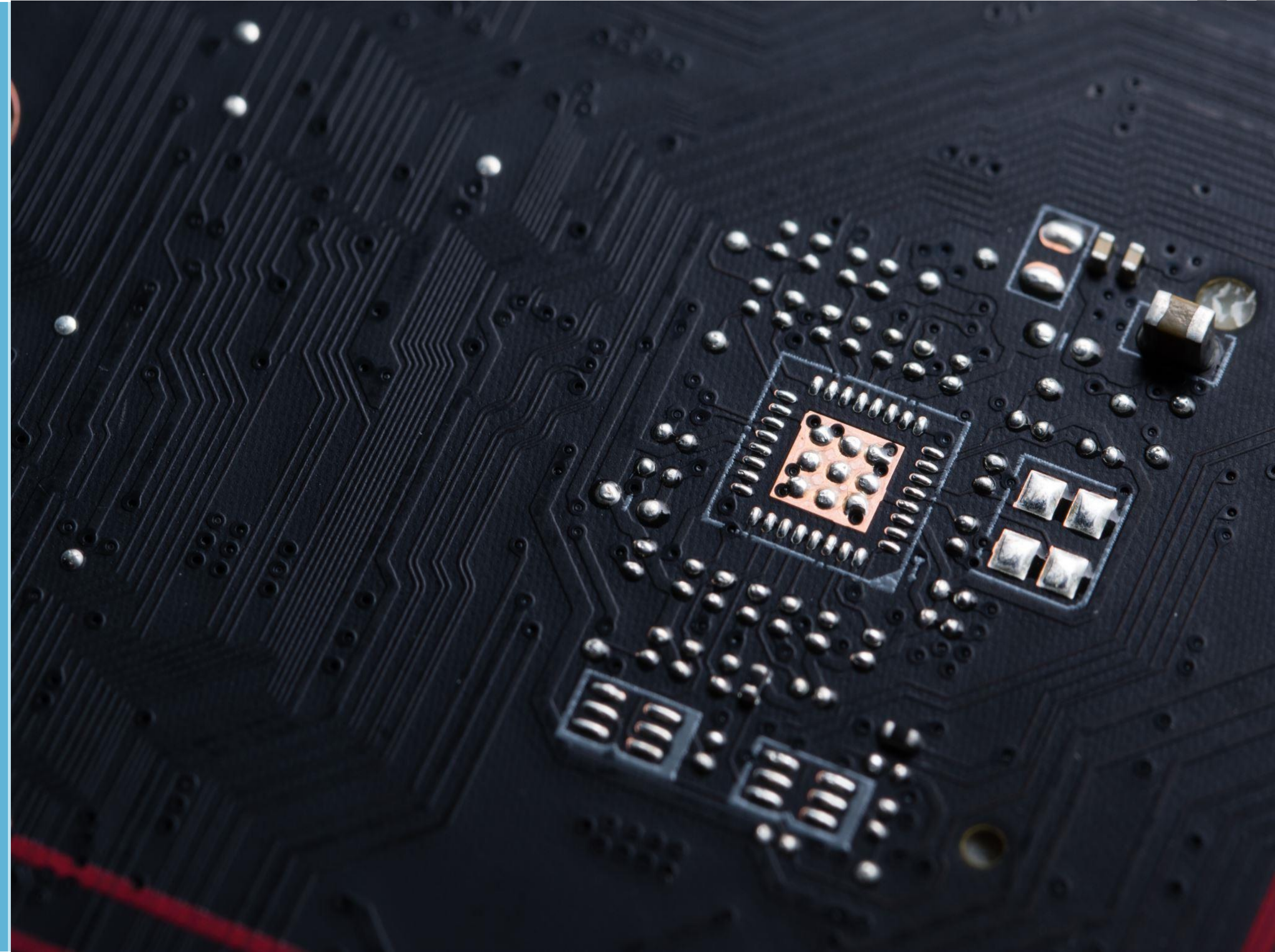
Support the researchers – top down

- Year box
 - Texts - edited
 - Podcasts
 - TV conversations
 - Stage performances as Stand up



Impact evaluation to capture the role of causality

- Impact evaluation of a film based on an RJ-funded research project titled *Digitalized Warfare: Responsibility, Intentionality and the Rule of Law* (Noll, Dahlbeck and Jeutner).
- Film maker Karin Wegsjö and communicator Eva Krutmeijer was responsible for the film.



Conclusions

- A artistic film of good quality can effectively communicate the message of a complex research project to a wider public.
- Research can effectively be communicated without graphs and bullet points, or talking heads.
- Important: to keep the professional roles clear and communicate it!

From evaluation to call for applications

- Special call for impact and dissemination of research in 2023
- Keep professional boundaries
- Build trust
- Take time
- Evaluate the project
- Tada! Impact!





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The film!

[GUILTY NOT GUILTY - ENG SUBS - YouTube](#)

TACK!

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2022-11-09



Science funding policy for effective impact

Panel discussion and Q&A

David Budtz Pedersen (Chair)

Gemma Derrick

Jenny Björkman

Up Next

13.00- 14.00	Lunch Break	K Foyer
14.00- 15.30	Plenary session: AESIS Family Feud & Impact Debate	K.11
15.30- 16.00	Refreshment break	K Foyer
16.00- 17.00	City tour of Stockholm Old Town The bus depart from Stockholmsmässan 15.45	