

Update on Public Engagement and the REF

January 2012

This presentation provides an overview of the final guidance for the REF, with a particular focus on the implications for public engagement. This guidance was published in January 2012, following a consultation process.

It summarises the key elements of the assessment framework, and highlights the specific references to public engagement.

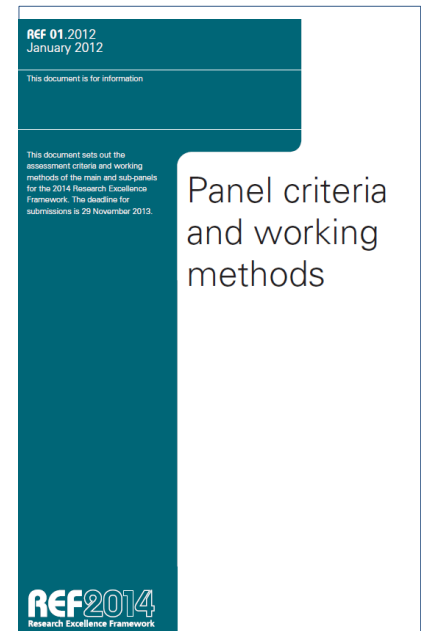
These are the key documents referenced in this presentation

- **HEFCE's assessment framework.** This was published in July 2012. It provides the over-arching guidance on procedures, the data that will be required, and the criteria and definitions that will apply.

http://www.hefce.ac.uk/research/ref/pubs/2011/02_11/



- **Panel Criteria and working methods.** This was published in January 2012, and contains the guidance from the four main panels. This guidance was published in draft form in July 2011, and consultation responses were invited. Some small and some significant revisions have been made to the way public engagement is treated by the different panels, which we draw out in this presentation



Section	Detail
Introduction	
Impact: reach and significance	Clarifying the two criteria chosen for assessing impact: the ‘reach’ and the ‘significance’ of the impacts
Impact: Submission requirements	Units’ impact submissions need to include ‘impact case studies’ and an ‘impact template’
Defining impact	How impact is defined – in the generic guidance and by the four Main Panels
Impact: types of impact	Each panel breaks down impact into different types
Comparing how the panels exemplify impact	We have attempted to synthesise the panels’ different approaches to categorising impact and to look for the similarities
Impact: Examples and indicators of impact	Each Panel provides examples of impact, linked to the different ‘types’ they identify, and they also provide guidance about what would count as indicators of impact being achieved. This section details the guidance they provide.
The impact case study	The generic guidance provided about the impact case studies
The Impact case study template	The template provided for the case studies
The underpinning research	How each panel clarifies their expectations about the quality of the underpinning research featured in impact case studies
The impact template	What each UoA needs to include in its ‘impact template’ – its account of how it has ‘supported and enabled’ impact
Public engagement and impact	A summary of each panel’s guidance about public engagement

This section outlines the key elements of the impact assessment framework, as laid out in the 'Assessment Framework and guidance on submissions' published in July 2011

INTRODUCTION

This document sets out the general framework for assessment in the 2014 Research Excellence Framework (REF) and provides guidance to UK higher education institutions about making submissions to the 2014 REF. It includes guidance on procedures, the data that will be required, and the criteria and definitions that will apply. The deadline for submissions is 29 November 2013.

Assessment framework and guidance on submissions

This document sets out the general framework for assessment in the 2014 Research Excellence Framework (REF) and provides guidance to UK higher education institutions about making submissions to the 2014 REF. It includes guidance on procedures, the data that will be required, and the criteria and definitions that will apply.

It outlines the aspects of the REF assessment framework that are standard to all four panels. Slides that detail this generic guidance carry this label in the top right hand corner:

The framework document clarifies the 3 distinct elements to the assessment framework and their relative weighting.

25. The sub-panels will assess three distinct elements of each submission, against the following generic criteria:

- a. **Outputs:** The sub-panels will assess the quality of submitted research outputs in terms of their ‘originality, significance and rigour’, with reference to international research quality standards. This element will carry a weighting of **65 per cent** in the overall outcome awarded to each submission.
- b. **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. This element will carry a weighting of **20 per cent**.
- c. **Environment:** The sub-panels will assess the research environment in terms of its ‘vitality and sustainability’, including its contribution to the vitality and sustainability of the wider discipline or research base. This element will carry a weighting of **15 per cent**.

It includes a definition of research – as ‘a process of investigation leading to new insights, effectively shared’.

Annex C Definition of research for the REF

1. For the purposes of the REF, research is defined as a process of investigation leading to new insights, effectively shared.
2. It **includes** work of direct relevance to the needs of commerce, industry, and to the public and voluntary sectors; scholarship; the invention and generation of ideas, images, performances, artefacts including design, where these lead to new or substantially improved insights; and the use of existing knowledge in experimental development to produce new or substantially improved materials, devices, products and processes, including design and construction. It **excludes** routine testing and routine analysis of materials, components and processes such as for the maintenance of national standards, as distinct from the development of new analytical techniques. It also **excludes** the development of teaching materials that do not embody original research.
3. It **includes** research that is published, disseminated or made publicly available in the form of assessable research outputs, and confidential reports (as defined at paragraph 115 in Part 3, Section 2).

The overall quality profile

Four star	Quality that is world-leading in terms of originality, significance and rigour.
Three star	Quality that is internationally excellent in terms of originality, significance and rigour but which falls short of the highest standards of excellence.
Two star	Quality that is recognised internationally in terms of originality, significance and rigour.
One star	Quality that is recognised nationally in terms of originality, significance and rigour.
Unclassified	Quality that falls below the standard of nationally recognised work. Or work which does not meet the published definition of research for the purposes of this assessment.

The outputs sub profile

The criteria for assessing the quality of outputs are 'originality, significance and rigour'.	
Four star	Quality that is world-leading in terms of originality, significance and rigour.
Three star	Quality that is internationally excellent in terms of originality, significance and rigour but which falls short of the highest standards of excellence.
Two star	Quality that is recognised internationally in terms of originality, significance and rigour.
One star	Quality that is recognised nationally in terms of originality, significance and rigour.
Unclassified	Quality that falls below the standard of nationally recognised work. Or work which does not meet the published definition of research for the purposes of this assessment.

The impact sub profile

The criteria for assessing impacts are 'reach' and 'significance':	
<ul style="list-style-type: none"> In assessing the impact described within a case study, the panel will form an overall view about its 'reach and significance' taken as a whole, rather than assess 'reach and significance' separately. In assessing the impact template (REF3a) the panel will consider the extent to which the unit's approach described in the template is conducive to achieving impacts of '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.

The environment sub profile

The research environment will be assessed in terms of its 'vitality and sustainability'. Panels will consider both the 'vitality and sustainability' of the submitted unit, and its contribution to the 'vitality and sustainability' of the wider research base.	
Four star	An environment that is conducive to producing research of world-leading quality, in terms of its vitality and sustainability.
Three star	An environment that is conducive to producing research of internationally excellent quality, in terms of its vitality and sustainability.
Two star	An environment that is conducive to producing research of internationally recognised quality, in terms of its vitality and sustainability.
One star	An environment that is conducive to producing research of nationally recognised quality, in terms of its vitality and sustainability.
Unclassified	An environment that is not conducive to producing research of nationally recognised quality.

Timetable

44. The timetable for the 2014 REF is as follows, and is repeated at Annex E:

March 2010	Publication of 'Initial decisions' by the funding bodies on the conduct of the REF (IHEFCE Circular letter 04/2010)
July 2010	Publication of 'Units of assessment and recruitment of expert panels' (REF 01.2010)
November 2010	Publication of reports on the REF impact pilot exercise
February 2011	Panel membership announced
March 2011	Publication of 'Decisions on assessing research impact' (REF 01.2011)
July 2011	Publication of 'Assessment framework and guidance on submissions' (REF 02.2011)
End July 2011	Publication of draft panel criteria and working methods for consultation
5 October 2011	Close of consultation on draft panel criteria and working methods
January 2012	Publication of panel criteria and working methods
31 July 2012	Institutions intending to make submissions to the REF submit their codes of practice on the selection of staff
Autumn 2012	Pilot of the REF submissions system
October 2012	Invitation to HEIs to make submissions; invitation to request multiple submissions; and start of survey of submissions intentions
December 2012	Survey of submissions intentions complete and deadline for requests for multiple submissions
January 2013	Launch of submissions systems and accompanying technical guidance
31 July 2013	End of assessment period (for research impacts, the research environment, and data about research income and research doctoral degrees awarded)
Mid 2013	Appointment of additional assessors to panels
31 October 2013	Census date for staff eligible for selection
29 November 2013	Closing date for submissions
31 December 2013	End of publication period (cut-off point for publication of research outputs, and for outputs underpinning impact case studies)
Throughout 2014	Panels assess submissions
December 2014	Publication of outcomes
Spring 2015	Publication of submissions, panel overview reports and sub-profiles

The four main panels

Panel A

Main Panel A covers the following sub-panels:

- 1 Clinical Medicine
- 2 Public Health, Health Services and Primary Care
- 3 Allied Health Professions, Dentistry, Nursing and Pharmacy
- 4 Psychology, Psychiatry and Neuroscience
- 5 Biological Sciences
- 6 Agriculture, Veterinary and Food Science

Panel C

Main Panel C covers the following sub-panels:

- 16 Architecture, Built Environment and Planning
- 17 Geography, Environmental Studies and Archaeology
- 18 Economics and Econometrics
- 19 Business and Management Studies
- 20 Law
- 21 Politics and International Studies
- 22 Social Work and Social Policy
- 23 Sociology
- 24 Anthropology and Development Studies
- 25 Education
- 26 Sport and Exercise Sciences, Leisure and Tourism

Panel B

Main Panel B covers the following sub-panels:

- 7 Earth Systems and Environmental Sciences
- 8 Chemistry
- 9 Physics
- 10 Mathematical Sciences
- 11 Computer Science and Informatics
- 12 Aeronautical, Mechanical, Chemical and Manufacturing Engineering
- 13 Electrical and Electronic Engineering, Metallurgy and Materials
- 14 Civil and Construction Engineering
- 15 General Engineering

Panel D

Main Panel D covers the following sub-panels:

- 27 Area Studies
- 28 Modern Languages and Linguistics
- 29 English Language and Literature
- 30 History
- 31 Classics
- 32 Philosophy
- 33 Theology and Religious Studies
- 34 Art and Design: History, Practice and Theory
- 35 Music, Drama, Dance and Performing Arts
- 36 Communication, Cultural and Media Studies, Library and Information Management

The four main panels

Each of the main panels interprets the guidance in subtly different ways, Throughout this presentation, we show how the four panels interpret different aspects of the framework. We include an appendix which shows how their guidance has changed as a result of the consultation, with changes highlighted in red.

Some slides place all four panels' guidance side by side, indicated by this label:

Panel A - D

Others detail the guidance of individual panels:

Panel A

Panel B

Panel C

Panel D

Information about the different panels is colour-coded to make it easier to locate.

Generic guidance is coded green:

GENERIC GUIDANCE

There are two key dimensions to the assessment of Impact: reach and significance

IMPACT: REACH AND SIGNIFICANCE

The impact sub profile describes how the impact sub profile will be assessed – and introduces the key terms of ‘reach’ and ‘significance’

The criteria for assessing impacts are ‘reach’ and ‘significance’:

- In assessing the impact described within a case study, the panel will form an overall view about its ‘reach and significance’ taken as a whole, rather than assess ‘reach and significance’ separately.
- In assessing the impact template (REF3a) the panel will consider the extent to which the unit’s approach described in the template is conducive to achieving impacts of ‘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.

Reach and significance

The guidance says surprisingly little about ‘reach and significance’. This table is included in Annex A, with a clarification about reach. There is no definition of what is meant by reach and significance . The pilot guidance offered the following:

*Our initial view is that there are two key criteria for assessing the extent of the impacts: their ‘**reach**’ (how widely the impact has been felt) and ‘**significance**’ (how much difference was made to the beneficiaries).*

Each of the main panels provide their own slightly different definitions of reach and significance, listed on the next slide

Table A3: Impact sub-profile: Criteria and definitions of starred levels

The criteria for assessing impacts are ‘reach and significance’:

- In assessing the impact described within a case study, the panel will form an overall view about its ‘reach and significance’ taken as a whole, rather than assess ‘reach and significance’ separately.
- In assessing the impact template (REF3a) the panel will consider the extent to which the unit’s approach described in the template is conducive to achieving impacts of ‘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.

The criterion of ‘reach’ for impacts does not refer specifically to a geographic scale. Sub-panels will consider a number of dimensions to the ‘reach’ of impacts as appropriate to the nature of the research and its impacts. For example, an impact located within one region of the UK might be judged as ‘outstanding’ (graded as four star). Equally, an impact with international reach might not be judged as ‘outstanding’, ‘very considerable’ or ‘considerable’. (p.44)

Each main panel defines 'reach' and 'significance' slightly differently in their guidance. There are no changes from their draft guidance, except for Panel A dropping dates from their definition of 'significance'

	Reach	Significance
Main panel A	the spread or breadth of influence or effect on the relevant constituencies.	the intensity of the influence or effect
Main panel B	the extent and breadth of the beneficiaries of the impact.	the degree to which the impact has enabled, enriched, influenced, informed or changed the products, services, performance, practices, policies or understanding of commerce, industry or other organisations, governments, communities or individuals.
Main panel C	the extent and diversity of the communities, environments, individuals, organisations or any other beneficiaries that have benefitted or been affected.	the degree to which the impact has enriched, influenced, informed or changed policies, opportunities, perspectives or practices of communities, individuals or organisations.
Main panel D	The extent and/or diversity of the organisations, communities and/or individuals who have benefitted from the impact.	The degree to which the impact enriched, influenced, informed or changed the policies, practices, understanding and awareness of organisations, communities and/or individuals.

IMPACT: SUBMISSION REQUIREMENTS

The framework document clarifies what each UOA will need to submit – case studies plus an ‘impact template’

Submission requirements for impact

146. The REF aims to assess the impact of excellent research undertaken within each submitted unit. This will be evidenced by specific examples of impacts that have been underpinned by research undertaken within the unit over a period of time, and by the submitted unit’s general approach to enabling impact from its research. The focus of the assessment is the impact of the submitted unit’s research, not the impact of individuals or individual research outputs, although they may contribute to the evidence of the submitted unit’s impact.

147. Each submission must include:

- a. **A completed impact template (REF3a):** describing the submitted unit’s approach, during the assessment period (1 January 2008 to 31 July 2013), to enabling impact from its research.
- b. **Impact case studies (REF3b):** describing specific impacts that have occurred during the assessment period (1 January 2008 to 31 July 2013) that were underpinned by excellent research undertaken in the submitted unit. The underpinning research must have been produced by the submitting HEI during the period 1 January 1993 to 31 December 20136.

148. Panels will assess all the evidence provided in the completed impact template (REF3a) and the submitted case studies (REF3b), and will initially form an impact sub-profile for each submission by attributing a weighting of 20 per cent to the impact template (REF3a) and 80 per cent to the case studies (REF3b). Panels will apply their expert judgment based on all the information provided in the impact template and case studies, before confirming the impact sub-profiles.

*Note the emphasis on the assessment of the impact of the unit’s research as a whole – not of individuals: the **impact template** will be key to framing the case studies and to providing that overview.*

DEFINING IMPACT

The guidance provides a definition of impact

Part 3 Section 3: Impact template and case studies (REF3a/b)

Definition of impact for the REF

140. 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** (as set out in paragraph 143).

141. Impact **includes**, but is not limited to, an effect on, 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.

142. Impact **includes** the reduction or prevention of harm, risk, cost or other negative effects.

143. For the purposes of the impact element of the REF:

- a. Impacts on research or the advancement of academic knowledge within the higher education sector (whether in the UK or internationally) are **excluded**. (The submitted unit's contribution to academic research and knowledge is assessed within the 'outputs' and 'environment' elements of REF.)
- b. Impacts on students, teaching or other activities within the submitting HEI are **excluded**.
- c. Other impacts within the higher education sector, including on teaching or students, are **included** where they extend significantly beyond the submitting HEI.

144. Impacts will be assessed in terms of their '**reach and significance**' regardless of the geographic location in which they occurred, whether locally, regionally, nationally or internationally. The UK funding bodies expect that many impacts will contribute to the economy, society and culture within the UK, but equally value the international contribution of UK research.

145. The REF panels will provide further guidance in relation to the kinds of impact that they would anticipate from research in their UOAs; this guidance will not be restrictive, and any impact that meets the general definition at Annex C will be eligible.

This definition is fleshed out in Annex C

ANNEX C

Definition of impact for the REF

4. 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 (as set out in paragraph 7).

5. Impact **includes**, but is not limited to, an effect on, 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.

6. Impact **includes** the reduction or prevention of harm, risk, cost or other negative effects.

7. For the purposes of the impact element of the REF:

- a. Impacts on research or the advancement of academic knowledge within the higher education sector (whether in the UK or internationally) are **excluded**. (The submitted unit's contribution to academic research and knowledge is assessed within the 'outputs' and 'environment' elements of REF.)
- b. Impacts on students, teaching or other activities within the submitting HEI are **excluded**.
- c. Other impacts within the higher education sector, including on teaching or students, are **included** where they extend significantly beyond the submitting HEI.

Each of the main panels go on to interpret impact in subtly different ways

Comparing the four panels' definitions of impact

The final paragraph of Panel D's definition contains an important new reference to public engagement

Panel A - D

PANEL A	PANEL B	PANEL C	PANEL D
<p>62. The impact of research within Main Panel A is broad. The main panel welcomes case studies which describe impacts that have provided benefits to one or more areas of the economy, society, culture, public policy and services, health, production, environment, international development or quality of life, whether locally, regionally, nationally or internationally.</p> <p>63. Impacts can be manifested in a wide variety of ways including, but not limited to: the many types of beneficiary (individuals, organisations, communities, regions and other entities); impacts on products, processes, behaviours, policies, practices; and avoidance of harm or the waste of resources. Examples are provided in Table A1 as a guide to the range of potential impacts that may be eligible as case studies. The list is not exhaustive or exclusive, and does not rank examples in any way. The main panel acknowledges that within its remit impact may take many forms and occur in a wide range of spheres, and the sub-panels will consider any impact that meets the general definition of impact given in 'guidance on submissions' (Annex C).</p>	<p>71. The main panel welcomes case studies describing impacts that have provided benefits to one or more areas of culture, the economy, the environment, health, public policy and services, quality of life, or society, whether locally, regionally, nationally or internationally.</p> <p>72. A single body of research work may underpin impact which provides benefits in more than one area. An impact case study may therefore describe more than one type of impact arising from such bodies of work; for example, a new drug can generate both health and economic impact, and a new energy technology can generate both environmental and economic impact</p>	<p>The main panel also acknowledges that there are multiple ways of achieving impact. Impact may arise from individual research projects or from collaborations within or between a range of organisations, within higher education and beyond. The resultant impact may be achieved by a variety of possible models: from individuals, to inter-institutional groups, to groups including both academic and non-academic participants. The relationship between research and impact may be neither direct nor linear. The main panel has determined that no one model or relationship will be considered intrinsically preferable, and each impact case study will be assessed on its own merits.</p> <p>The main panel acknowledges that impact within its remit may take many forms and occur in a wide range of spheres. These may include (but are not restricted to): creativity, culture and society; the economy, commerce or organisations; the environment; health and welfare; practitioners and professional services; public policy, law and services. The categories used to define spheres of impact, for the purpose of this document, inevitably overlap and should not be taken as restrictive. Case studies may describe impacts which have affected more than one sphere. . Impact of any type may be local, regional, national or international, in any part of the world. The beneficiaries of impact may include (but are not restricted to) community/ies, the environment, individuals and organisations. The panel will treat all forms and spheres of impact and any beneficiaries described on an equal basis, assessing them according to the generic REF criteria of reach and significance.</p> <p>The main panel particularly acknowledges that there may be impacts arising from research within Main Panel C disciplines which take forms such as holding public or private bodies to account or subjecting proposed changes in society, public policy, business practices, and so on to public scrutiny. Such holding to account or public scrutiny may have had the effect of a proposed change not taking place; there may be circumstances in which this of itself is claimed as impact. There may also be examples of research findings having been communicated to, but not necessarily acted upon, by the intended audience, but which nevertheless make a contribution to critical public debate around policy, social or business issues. The main panel also recognises that research findings may generate critique or dissent, which itself leads to impact(s). For example, research may find that a government approach to a particular social or economic issue is not delivering its objectives, which leads to the approach being questioned or modified.</p>	<p>83. Research across the arts and humanities (understood in their broadest definition) has consequences for individuals and groups in the UK and internationally, challenging imaginations and enriching lives economically, culturally, spiritually and educationally. The impact of such research is powerful, pervasive and ubiquitous, influencing civil society and the quality of life. Impact may be the result of individual or collective research (or a combination of these), including collaboration with researchers beyond the UK. The impact of research may be foreseen or unforeseen. It can emerge as an end product, but can also be demonstrated during the research process.</p> <p>Impact takes place through a wide variety of mechanisms. The links between research and its consequences may be direct and causal, or diffuse and non-linear.</p> <p>It may effect change or enrichment for local, national or international communities, groups or individuals. Consequently public engagement may be an important feature of many case studies, typically as the mechanism by which the impact claimed has been achieved. The sub-panels will take all these factors into account as appropriate when weighing the evidence provided.</p>

Panel A

The main panel welcomes case studies which describe impacts that have provided benefits to one or more areas of the economy, society, culture, public policy and services, health, production, environment, international development or quality of life, whether locally, regionally, nationally or internationally.

Panel B

The main panel welcomes case studies describing impacts that have provided benefits to one or more areas of culture, the economy, the environment, health, public policy and services, quality of life, or society, whether locally, regionally, nationally or internationally.

Panel C

The main panel acknowledges that impact within its remit may take many forms and occur in a wide range of spheres. These may include (but are not restricted to): creativity, culture and society; the economy, commerce or organisations; the environment; health and welfare; practitioners and professional services; public policy, law and services. The categories used to define spheres of impact, for the purpose of this document, inevitably overlap and should not be taken as restrictive. Case studies may describe impacts which have affected more than one sphere. Impact of any type may be local, regional, national or international, in any part of the world. The beneficiaries of impact may include (but are **not** restricted to) community/ies, the environment, individuals and organisations. The panel will treat all forms and spheres of impact and any beneficiaries described on an equal basis, assessing them according to the generic REF criteria of reach and significance.

Panel D

Research across the arts and humanities has consequences for individuals and groups in the UK and internationally, challenging imaginations and enriching lives economically, culturally, spiritually and educationally. The impact of such research is powerful, pervasive and ubiquitous, influencing civil society and the quality of life.

Panels A and B have almost identical definitions, limiting themselves to the areas of society that might be affected. Panel C provides a more extensive 'palate', but follows the same approach of defining the areas of society that might be affected. Panel D offers a different approach, stepping back to frame impact in the arts and humanities in terms of its higher purposes ('challenging imaginations and enriching lives')

Panel A

Impacts can be manifested in a wide variety of ways including, but not limited to:

- the many **types of beneficiary** (individuals, organisations, communities, regions and other entities);
- impacts on **products, processes, behaviours, policies, practices**;
- and **avoidance of harm** or the waste of resources.

Panel B

A single body of research work may underpin impact which provides benefits in more than one area. An impact case study may therefore describe more than one type of impact arising from such bodies of work; for example, a new drug can generate both health and economic impact, and a new energy technology can generate both environmental and economic impact

Panels A and B are more pragmatic. Panels C and D attempt to describe more of the nuances. Panel D goes on to explore how impact can often be achieved through preventing things happening – creating additional challenges for assessment. See the next slide...

Panel C

The main panel acknowledges that there are multiple ways of achieving impact. Impact may arise from individual research projects or from collaborations within or between a range of organisations, within higher education and beyond. The resultant impact may be achieved by a variety of possible models: from individuals, to inter-institutional groups, to groups including both academic and non-academic participants. The relationship between research and impact may be neither direct nor linear.

Panel D

Impact may be the result of individual or collective research (or a combination of these), including collaboration with researchers beyond the UK. The impact of research may be foreseen or unforeseen. It can emerge as an end product, but can also be demonstrated during the research process.

Impact takes place through a wide variety of mechanisms. The links between research and its consequences may be direct and causal, or diffuse and non-linear. It may effect change or enrichment for local, national or international communities, groups or individuals. Consequently public engagement may be an important feature of many case studies, typically as the mechanism by which the impact claimed has been achieved.

Each panel provides types and examples of impact – each stressing these are not meant to be restrictive. There are some subtle changes from the guidance published in July 2011 to A, B and D and a big change for C – which now provides a list of types of impact, whereas it chose not to before

IMPACT: TYPES OF IMPACT

Main panel A

Economic impacts:
Impacts where the beneficiaries are usually the NHS or private health care or agricultural activity

Commercial impacts:
Impacts where the beneficiaries are usually companies, either new or established, or other types of organisation which undertake activity that creates wealth

Impacts on public policy and services:
Impacts where the beneficiaries are usually government, public sector, and charity organisations and societies, either as a whole or groups of individuals in society, through the implementation of policies

Impacts on society, culture and creativity:
Impacts where the beneficiaries are individuals, groups of individuals, organisations or communities whose knowledge, behaviours or practices have been influenced

Production impacts:
Impacts where the beneficiaries are individuals (including groups of individuals) whose production has been enhanced

Health and welfare impacts:
Impacts where the beneficiaries are individuals and groups (both human and animals) whose quality of life has been enhanced (or potential harm mitigated)

Impacts on practitioners and services:
Impacts where beneficiaries are organisations or individuals, including service users involved in the development of and delivery of professional services

Impacts on the environment:
Impacts where the key beneficiary is the natural or built environment

Impacts on international development:
Impacts where the beneficiaries are international bodies, countries, governments or communities

Main panel B

Economic impacts
Impacts where the beneficiaries may include businesses, either new or established, or other types of organisation which undertake activity that may create wealth

Impacts on public policy and services
Impacts where the beneficiaries may include government, non-governmental organisations (NGOs), charities and public sector organisations and society, either as a whole or groups of individuals in society

Impacts on society, culture and creativity
Impacts where the beneficiaries may include individuals, groups of individuals, organisations or communities whose knowledge, behaviours, creative practices and other activity have been influenced

Health impacts
Impacts where the beneficiaries may include individuals (including groups of individuals) whose health outcomes have been improved or whose quality of life has been enhanced (or potential harm mitigated) through the application of enhanced healthcare for individuals or public health activities

Impacts on practitioners and professional services
Impacts where beneficiaries may include organisations or individuals involved in the development of and delivery of professional services

Impacts on the environment
Impacts where the key beneficiaries are the natural environment and/or the built environment, together with societies, individuals or groups of individuals who benefit as a result

Main panel C

Economic, commercial, organisational impacts:
Impacts where the beneficiaries may include new or established businesses, or other types of organisation undertaking activities which create wealth

Impacts on public policy, law and services: Impacts where the beneficiaries are usually government, public sector and charity organisations and societies, either as a whole or groups of individuals in society through the implementation or non-implementation of policies, systems or reforms

Impacts on creativity, culture and society: Impacts where the beneficiaries are individuals, groups of individuals, organisations or communities whose knowledge, behaviours, practices, rights or duties have been influenced

Health and welfare impacts:
Impacts where the beneficiaries are individuals and groups (human or animal) whose quality of life has been enhanced (or harm mitigated) or whose rights or interests have been protected or advocated

Impacts on practitioners and professional services:
Impacts where the beneficiaries may include organisations or individuals involved in the development and/or delivery of professional services and ethics

Impacts on the environment:
Impacts where the key beneficiaries are the natural, historic and/or built environment, together with societies, individuals or groups of individuals who benefit as a result

Main panel D

Economic prosperity Applying and transferring the insights and knowledge gained from research to create wealth in the manufacturing, service, creative and cultural sectors.

Policy making Influencing policy debate and practice through informed interventions relating to any aspect of human or animal well-being

Public services Contributing to the development and delivery of public services or legislation to support the welfare, education, understanding or empowerment of diverse individuals and groups in society, including the disadvantaged or marginalised.

Civil society Influencing the form and content of associations between people or groups to illuminate and challenge cultural values and social assumptions.

Cultural life Creating and interpreting cultural capital in all of its forms to enrich and expand the lives, imaginations and sensibilities of individuals and groups.

Public discourse Extending the range and improving the quality of evidence, argument and expression to enhance public understanding of the major issues and challenges faced by individuals and society.

Education Influencing the form or the content of the education of any age group in any part of the world where they extend significantly beyond the submitting HEI.

COMPARING HOW THE PANELS EXEMPLIFY IMPACT

Comparing the examples of impact given by the panels

A Impacts on society, culture and creativity:

Impacts where the beneficiaries are individuals, groups of individuals, organisations or communities whose knowledge, behaviours or practices have been influenced

B Impacts on society, culture and creativity

Impacts where the beneficiaries may include individuals, groups of individuals, organisations or communities whose knowledge, behaviours, creative practices and other activity have been influenced

C Impacts on creativity, culture and society:

Impacts where the beneficiaries are individuals, groups of individuals, organisations or communities whose knowledge, behaviours, practices, rights or duties have been influenced

B Economic impacts

Impacts where the beneficiaries may include businesses, either new or established, or other types of organisation which undertake activity that may create wealth

A Commercial impacts:

Impacts where the beneficiaries are usually companies, either new or established, or other types of organisation which undertake activity that creates wealth

A Economic impacts:

Impacts where the beneficiaries are usually the NHS or private health care or agricultural activity

C Economic, commercial, organisational impacts:

Impacts where the beneficiaries may include new or established businesses, or other types of organisation undertaking activities which create wealth

A Health and welfare impacts:

Impacts where the beneficiaries are individuals and groups (both human and animals) whose quality of life has been enhanced (or potential harm mitigated)

C Health and welfare impacts:

Impacts where the beneficiaries are individuals and groups (human or animal) whose quality of life has been enhanced (or harm mitigated) or whose rights or interests have been protected or advocated

It is easy to map Panels A-C together as they take a very similar approach: describing the impacts in terms of the beneficiaries/domains in which impact might be realised

B Health impacts

Impacts where the beneficiaries may include individuals (including groups of individuals) whose health outcomes have been improved or whose quality of life has been enhanced (or potential harm mitigated) through the application of enhanced healthcare for individuals or public health activities

A Impacts on public policy and services:

Impacts where the beneficiaries are usually government, public sector, and charity organisations and societies, either as a whole or groups of individuals in society, through the implementation of policies

B Impacts on public policy and services

Impacts where the beneficiaries may include government, non-governmental organisations (NGOs), charities and public sector organisations and society, either as a whole or groups of individuals in society

C Impacts on public policy, law and services:

Impacts where the beneficiaries are usually government, public sector and charity organisations and societies, either as a whole or groups of individuals in society through the implementation or non-implementation of policies, systems or reforms

B Impacts on the environment

Impacts where the key beneficiaries are the natural environment and/or the built environment, together with societies, individuals or groups of individuals who benefit as a result

A Impacts on the environment:

Impacts where the key beneficiary is the natural or built environment

C Impacts on the environment:

Impacts where the key beneficiaries are the natural, historic and/or built environment, together with societies, individuals or groups of individuals who benefit as a result

A Impacts on international development:

Impacts where the beneficiaries are international bodies, countries, governments or communities

B Impacts on practitioners and professional services

Impacts where beneficiaries may include organisations or individuals involved in the development of and delivery of professional services

A Impacts on practitioners and services:

Impacts where beneficiaries are organisations or individuals, including service users involved in the development of and delivery of professional services

A Production impacts:

Impacts where the beneficiaries are individuals (including groups of individuals) whose production has been enhanced

Comparing the examples of impact given by the panels

D Public discourse Extending the range and improving the quality of evidence, argument and expression to enhance public understanding of the major issues and challenges faced by individuals and society.

D Economic prosperity Applying and transferring the insights and knowledge gained from research to create wealth in the manufacturing, service, creative and cultural sectors.

D Civil society Influencing the form and content of associations between people or groups to illuminate and challenge cultural values and social assumptions.

Panel D's approach is different. They map impacts in terms of the kinds of outcomes that might be achieved

D Public services Contributing to the development and delivery of public services or legislation to support the welfare, education, understanding or empowerment of diverse individuals and groups in society, including the disadvantaged or marginalised.

D Cultural life Creating and interpreting cultural capital in all of its forms to enrich and expand the lives, imaginations and sensibilities of individuals and groups.

D Policy making Influencing policy debate and practice through informed interventions relating to any aspect of human or animal well-being

D Education Influencing the form or the content of the education of any age group in any part of the world where they extend significantly beyond the submitting HEI.

It is possible to 'overlay' Panel D's definitions, as the next three slides show

Comparing the examples of impact given by the panels

A Impacts on society, culture and creativity:

Impacts where the beneficiaries are individuals, groups of individuals, organisations or communities whose knowledge, behaviours or practices have been influenced

B Impacts on society, culture and creativity

Impacts where the beneficiaries may include individuals, groups of individuals, organisations or communities whose knowledge, behaviours, creative practices and other activity have been influenced

C Impacts on creativity, culture and society:

Impacts where the beneficiaries are individuals, groups of individuals, organisations or communities whose knowledge, behaviours, practices, rights or duties have been influenced

B Economic impacts

Impacts where the beneficiaries may include businesses, either new or established, or other types of organisation which undertake activity that may create wealth

A Commercial impacts:

Impacts where the beneficiaries are usually companies, either new or established, or other types of organisation which undertake activity that creates wealth

A Economic impacts:

Impacts where the beneficiaries are usually the NHS or private health care or agricultural activity

C Economic, commercial, organisational impacts:

Impacts where the beneficiaries may include new or established businesses, or other types of organisation undertaking activities which create wealth

A Health and welfare impacts:

Impacts where the beneficiaries are individuals and groups (both human and animals) whose quality of life has been enhanced (or potential harm mitigated)

C Health and welfare impacts:

Impacts where the beneficiaries are individuals and groups (human or animal) whose quality of life has been enhanced (or harm mitigated) or whose rights or interests have been protected or advocated

B Health impacts

Impacts where the beneficiaries may include individuals (including groups of individuals) whose health outcomes have been improved or whose quality of life has been enhanced (or potential harm mitigated) through the application of enhanced healthcare for individuals or public health activities

Panels A - C

A Impacts on public policy and services:

Impacts where the beneficiaries are usually government, public sector, and charity organisations and societies, either as a whole or groups of individuals in society, through the implementation of policies

B Impacts on public policy and services

Impacts where the beneficiaries may include government, non-governmental organisations (NGOs), charities and public sector organisations and society, either as a whole or groups of individuals in society

C Impacts on public policy, law and services:

Impacts where the beneficiaries are usually government, public sector and charity organisations and societies, either as a whole or groups of individuals in society through the implementation or non-implementation of policies, systems or reforms

B Impacts on the environment

Impacts where the key beneficiaries are the natural environment and/or the built environment, together with societies, individuals or groups of individuals who benefit as a result

A Impacts on the environment:

Impacts where the key beneficiary is the natural or built environment

C Impacts on the environment:

Impacts where the key beneficiaries are the natural, historic and/or built environment, together with societies, individuals or groups of individuals who benefit as a result

A Impacts on international development:

Impacts where the beneficiaries are international bodies, countries, governments or communities

B Impacts on practitioners and professional services

Impacts where beneficiaries may include organisations or individuals involved in the development of and delivery of professional services

A Impacts on practitioners and services:

Impacts where beneficiaries are organisations or individuals, including service users involved in the development of and delivery of professional services

A Production impacts:

Impacts where the beneficiaries are individuals (including groups of individuals) whose production has been enhanced

How might they be mapped?

A Impacts on society, culture and creativity:

Impacts where the beneficiaries are individuals, groups of individuals, organisations or communities whose knowledge, behaviours or practices have been influenced

B Impacts on society, culture and creativity

Impacts where the beneficiaries may include individuals, groups of individuals, organisations or communities whose knowledge, behaviours, creative practices and other activity have been influenced

D Civil society Influencing the form and content of associations between people or groups to illuminate and challenge cultural values and social assumptions.

D Public discourse Extending the range and improving the quality of evidence, argument and expression to enhance public understanding of the major issues and challenges faced by individuals and society.

D Cultural life Creating and interpreting cultural capital in all of its forms to enrich and expand the lives, imaginations and sensibilities of individuals and groups.

C Impacts on creativity, culture and society:

Impacts where the beneficiaries are individuals, groups of individuals, organisations or communities whose knowledge, behaviours, practices, rights or duties have been influenced

B Economic impacts

Impacts where the beneficiaries may include businesses, either new or established, or other types of organisation which undertake activity that may create wealth

D Economic prosperity

Applying and transferring the insights and knowledge gained from research to create wealth in the manufacturing, service, creative and cultural sectors.

A Commercial impacts:

Impacts where the beneficiaries are usually companies, either new or established, or other types of organisation which undertake activity that creates wealth

A Economic impacts:

Impacts where the beneficiaries are usually the NHS or private health care or agricultural activity

C Economic, commercial, organisational impacts:

Impacts where the beneficiaries may include new or established businesses, or other types of organisation undertaking activities which create wealth

A Health and welfare impacts:

Impacts where the beneficiaries are individuals and groups (both human and animals) whose quality of life has been enhanced (or potential harm mitigated)

C Health and welfare impacts:

Impacts where the beneficiaries are individuals and groups (human or animal) whose quality of life has been enhanced (or harm mitigated) or whose rights or interests have been protected or advocated

B Health impacts

Impacts where the beneficiaries may include individuals (including groups of individuals) whose health outcomes have been improved or whose quality of life has been enhanced (or potential harm mitigated) through the application of enhanced healthcare for individuals or public health activities

Panels A - D

D Public services Contributing to the development and delivery of public services or legislation to support the welfare, education, understanding or empowerment of diverse individuals and groups in society, including the disadvantaged or marginalised.

D Policy making Influencing policy debate and practice through informed interventions relating to any aspect of human or animal well-being

D Education Influencing the form or the content of the education of any age group in any part of the world where they extend significantly beyond the submitting HEI.

A Impacts on public policy and services:

Impacts where the beneficiaries are usually government, public sector, and charity organisations and societies, either as a whole or groups of individuals in society, through the implementation of policies

B Impacts on public policy and services

Impacts where the beneficiaries may include government, non-governmental organisations (NGOs), charities and public sector organisations and society, either as a whole or groups of individuals in society

C Impacts on public policy, law and services: Impacts where the beneficiaries are usually government, public sector and charity organisations and societies, either as a whole or groups of individuals in society through the implementation or non-implementation of policies, systems or reforms

B Impacts on the environment

Impacts where the key beneficiaries are the natural environment and/or the built environment, together with societies, individuals or groups of individuals who benefit as a result

A Impacts on the environment:

Impacts where the key beneficiary is the natural or built environment

C Impacts on the environment:

Impacts where the key beneficiaries are the natural, historic and/or built environment, together with societies, individuals or groups of individuals who benefit as a result

A Impacts on international development:

Impacts where the beneficiaries are international bodies, countries, governments or communities

B Impacts on practitioners and professional services

Impacts where beneficiaries may include organisations or individuals involved in the development of and delivery of professional services

A Impacts on practitioners and services:

Impacts where beneficiaries are organisations or individuals, including service users involved in the development of and delivery of professional services

A Production impacts:

Impacts where the beneficiaries are individuals (including groups of individuals) whose production has been enhanced

A Impacts on society, culture and creativity:

Impacts where the beneficiaries are individuals, groups of individuals, organisations or communities whose knowledge, behaviours or practices have been influenced

B Impacts on society, culture and creativity

Impacts where the beneficiaries may include individuals, groups of individuals, organisations or communities whose knowledge, behaviours, creative practices and other activity have been influenced

D Civil society Influencing the form and content of associations between people or groups to illuminate and challenge cultural values and social assumptions.

D Public discourse Extending the range and improving the quality of evidence, argument and expression to enhance public understanding of the major issues and challenges faced by individuals and society.

D Cultural life Creating and interpreting cultural capital in all of its forms to enrich and expand the lives, imaginations and sensibilities of individuals and groups.

Culture and society

C Impacts on creativity, culture and society: Impacts where the beneficiaries are individuals, groups of individuals, organisations or communities whose knowledge, behaviours, practices, rights or duties have been influenced

Economic and commercial

B Economic impacts

Impacts where the beneficiaries may include businesses, either new or established, or other types of organisation which undertake activity that may create wealth

D Economic prosperity Applying and transferring the insights and knowledge gained from research to create wealth in the manufacturing, service, creative and cultural sectors.

A Commercial impacts:

Impacts where the beneficiaries are usually companies, either new or established, or other types of organisation which undertake activity that creates wealth

A Economic impacts:

Impacts where the beneficiaries are usually the NHS or private health care or agricultural activity

C Economic, commercial, organisational impacts:

Impacts where the beneficiaries may include new or established businesses, or other types of organisation undertaking activities which create wealth

A Health and welfare impacts:

Impacts where the beneficiaries are individuals and groups (both human and animals) whose quality of life has been enhanced (or potential harm mitigated)

C Health and welfare impacts:

Impacts where the beneficiaries are individuals and groups (human or animal) whose quality of life has been enhanced (or harm mitigated) or whose rights or interests have been protected or advocated

B Health impacts

Impacts where the beneficiaries may include individuals (including groups of individuals) whose health outcomes have been improved or whose quality of life has been enhanced (or potential harm mitigated) through the application of enhanced healthcare for individuals or public health activities

Health and welfare

Public policy and services

D Public services Contributing to the development and delivery of public services or legislation to support the welfare, education, understanding or empowerment of diverse individuals and groups in society, including the disadvantaged or marginalised.

D Policy making Influencing policy debate and practice through informed interventions relating to any aspect of human or animal well-being

D Education Influencing the form or the content of the education of any age group in any part of the world where they extend significantly beyond the submitting HEI.

A Impacts on public policy and services:

Impacts where the beneficiaries are usually government, public sector, and charity organisations and societies, either as a whole or groups of individuals in society, through the implementation of policies

B Impacts on public policy and services

Impacts where the beneficiaries may include government, non-governmental organisations (NGOs), charities and public sector organisations and society, either as a whole or groups of individuals in society

C Impacts on public policy, law and services: Impacts where the beneficiaries are usually government, public sector and charity organisations and societies, either as a whole or groups of individuals in society through the implementation or non-implementation of policies, systems or reforms

Environment

B Impacts on the environment

Impacts where the key beneficiaries are the natural environment and/or the built environment, together with societies, individuals or groups of individuals who benefit as a result

A Impacts on the environment: Impacts where the key beneficiary is the natural or built environment

C Impacts on the environment: Impacts where the key beneficiaries are the natural, historic and/or built environment, together with societies, individuals or groups of individuals who benefit as a result

A Impacts on international development: Impacts where the beneficiaries are international bodies, countries, governments or communities

Practitioners and services

C Impacts on practitioners and professional services: Impacts where the beneficiaries may include organisations or individuals involved in the development and/or delivery of professional services and ethics

B Impacts on practitioners and professional services

Impacts where beneficiaries may include organisations or individuals involved in the development of and delivery of professional services

A Impacts on practitioners and services: Impacts where beneficiaries are organisations or individuals, including service users involved in the development of and delivery of professional services

A Production impacts: Impacts where the beneficiaries are individuals (including groups of individuals) whose production has been enhanced

For each of the ‘types’ of impact listed, the panels also provide specific examples of what impact might look like in practice, and then go on to suggest ‘indicators’ which count as evidence. There are some significant differences in how each panel has approached this

IMPACT: EXAMPLES AND INDICATORS OF IMPACT

Please contact the NCCPE if you would like to be sent a presentation which details the examples and indicators provided by each of the panels

Case studies are the vehicle for UoA's to describe the impacts they have generated. This section revisits the generic guidance about these published in July 2011

IMPACT CASE STUDIES

The guidance clarifies what is expected of the case study submissions

Impact case studies (form REF3b)

Number of case studies in a submission

156. The number of case studies required in each submission will be determined by the number (FTE) of Category A staff returned in the submission, as set out in Table 1. If a submission includes fewer than the required number of case studies, a grade of unclassified will be awarded to each required case study that is not submitted. Submissions may not include more than the required number of case studies.

Table 1: Number of case studies required in submissions

Table 1: Number of case studies required in submissions

Number of Category A staff submitted (FTE)	Required number of case studies
Up to 14.99	2
15 – 24.99	3
25 – 34.99	4
35 – 44.99	5
45 or more	6, plus 1 further case study per additional 10 FTE

157. Submissions will **not** be expected to provide impact case studies that are representative of the spread of research activity across the whole submitted unit. Institutions should select the strongest examples of impact that are underpinned by the submitted unit’s excellent research, and should explain within the impact template how the selected case studies relate to the submitted unit’s approach to enabling impact from its research.

Eligibility definitions for case studies

158. Each case study must provide details of a specific impact that:

- a. Meets the definition of impact for the REF in Annex C.
- b. Occurred during the period 1 January 2008 to 31 July 2013 (see paragraph 159).
- c. Was underpinned by excellent research produced by the submitting unit in the period 1 January 1993 to 31 December 2013 (see paragraphs 160-161 and footnote 6).

159. Case studies must describe impacts that occurred specifically within the period **1 January 2008 to 31 July 2013**. The impacts may have been at any stage of development or maturity during this period, so long as some effect, change or benefit meeting the definition of impact at Annex C took place during that period. This may include, for example, impacts at an early stage, or impacts that may have started prior to 1 January 2008 but continued into the period 1 January 2008 to 31 July 2013. Case studies will be assessed in terms of the reach and significance of the impact that occurred only during the period 1 January 2008 to 31 July 2013, and not in terms of any impact prior to this period or potential future or anticipated impact after this period.

160. To be eligible for assessment as an impact, the impact described in a case study must have been underpinned by excellent research produced by the submitting unit, during the period 1 January 1993 to 31 December 2013 (see footnote 6). Each case study must describe the underpinning research, include references to one or more key research outputs, provide evidence of the quality of that research, and explain how that research underpinned or contributed to the impact. Further guidance on the information required in case studies is at Annex G.

The following definitions apply:

a. ‘Research produced by the submitting unit in the period 1 January 1993 to 31 December 2013’ means that staff carried out research within the scope of the relevant UOA descriptor, while working in the submitting HEI (even if those staff have since left). This research must be evidenced by outputs referenced in the case study, published between 1 January 1993 and 31 December 2013. The staff may, but need not, have been selected for a previous RAE or the 2014 REF. The research outputs may, but need not, have been submitted to a previous RAE or the 2014 REF. If staff employed by the submitting HEI on the census date conducted all of the research underpinning an impact before joining the institution, the submitting HEI may not submit the impact of this research. (In this case, the institution where the staff conducted the research may submit the impact.)

b. ‘Excellent research’ means that the quality of the research is at least equivalent to two star: ‘quality that is recognised internationally in terms of originality, significance and rigour’. Each case study must include references to one or more key research outputs that underpinned the impact and were produced by the submitting HEI, and evidence of the quality of the research as requested in the relevant panel criteria documents. Panels will consider the evidence of research quality, and may review outputs referenced in a case study. A panel will grade as unclassified a case study if it judges that the underpinning research outputs are not predominantly of at least two star quality.

c. ‘Underpinned by’ means that the research made a distinct and material contribution to the impact taking place, such that **the impact would not have occurred or would have been significantly reduced without the contribution of that research**. Each case study must explain how (through what means) the research led to or contributed to the impact, and include appropriate sources of information external to the HEI to corroborate these claims (see Annex G). Where the panel judges that the submitted unit’s research did not make a distinct and material contribution to the impact, the case study will be graded as unclassified

Note the specific reference to public engagement under 161, c below

161. There are many ways in which research may have underpinned impact, including but not limited to:
- a. Research that contributed directly or indirectly to an impact. For example, a submitted unit’s research may have informed research in another submitted unit (whether in the same or another HEI), which in turn led to an impact. In this case, both submitted units may show that their research made a distinct and material contribution to the impact.
 - b. Research embodied in one or more outputs, conducted by one or more individuals, teams or groups, within one or more submitted units, that led to or underpinned an impact. More than one submitted unit (within the same HEI or in different HEIs) may include the same impact within their respective case studies, so long as each submitted unit produced excellent research that made a distinct and material contribution to the impact.
 - c. Impacts on, for example, public awareness, attitudes, understanding or behaviour that arose from engaging the public with research. In these cases, the submitting unit must show that the engagement activity was, at least in part, based on the submitted unit’s research and drew materially and distinctly upon it.**
 - d. Researchers that impacted on others through the provision of professional advice or expert testimony. In such a case, the submitting unit must show that the researcher’s appointment to their advisory role, or the specific advice given, was at least in part based on the submitted unit’s research and drew materially and distinctly upon it.
 - e. Research that led to impact through its deliberate exploitation by the HEI or through its exploitation by others. The submitting HEI need not have been involved in exploiting the research, but must show that its research made a distinct and material contribution to the impact.
162. Institutions must submit impact case studies in the appropriate UOAs. Impacts from research undertaken at the submitting HEI may be submitted either in the REF UOA that relates to the underpinning research, or, if this differs, to the REF UOA that relates to the staff who conducted the research.

Case study submission requirements (form REF3a)

163. Submitting units are required to submit case studies using a generic template. The template, annotated with guidance, is at Annex G. The template has been developed, through the impact pilot exercise, to enable submitting units in all UOAs to clearly explain and demonstrate the impact of their research through a narrative that includes indicators and evidence as appropriate to the case being made, and in a format that is suitable for panels to assess them.
164. The onus is on submitting units to provide appropriate evidence within each case study of the particular impact claimed. The REF panels will provide guidance, in the panel criteria documents, about the kinds of evidence and indicators of impact they would consider appropriate to research in their respective UOAs, but this guidance will not be exhaustive.

THE IMPACT CASE STUDY TEMPLATE

The case study template is provided in the appendix

Annex G

Impact case study template and guidance

1. This annex provides the template for impact case studies, annotated with guidance about the information required in each of its sections. This should be read alongside the definitions and eligibility criteria for impact case studies in Part 3, Section 3 of the main document, and alongside the panel criteria statements. The case study template for use in preparing submissions will be provided in Word, along with templates for REF3a and REF5, on the REF submission system.
2. Each case study should include sufficiently clear and detailed information to enable panels to make judgements based on the information it contains, without making inferences, gathering additional material, following up references or relying on members' prior knowledge. References to other sources of information will be used for verification purposes only, not as a means for panels to gather further information to inform judgements.
3. Each completed case study template will be limited to **four pages** in length (see Annex F). Within the annotated template below, indicative guidance is provided about the expected maximum length limit of each section, but institutions will have flexibility to exceed these so long as the case study as a whole remains no longer than **four pages** and the guidance on formatting at Annex F is adhered to.

Title of case study:

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

This section should briefly state what specific impact is being described in the case study.

2. Underpinning research (indicative maximum 500 words)

This section should outline the key research insights or findings that underpinned the impact, and provide details of what research was undertaken, when, and by whom. References to specific research outputs that embody the research described in this section, and evidence of its quality, should be provided in the next section.

Details of the following should be provided in this section:

- The nature of the research insights or findings which relate to the impact claimed in the case study.
- An outline of what the underpinning research produced by the submitted unit was (this may relate to one or more research outputs, projects or programmes).
- Dates of when it was carried out.
- Names of the key researchers and what positions they held at the institution at the time of the research (where researchers joined or left the HEI during this time, these dates must also be stated).
- Any relevant key contextual information about this area of research.

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

This section should provide references to key outputs from the research described in the previous section, and evidence about the quality of the research.

Include the following details for each cited output:

- Author(s).
- Title.
- Year of publication.
- Type of output and other relevant details required to identify the output (for example journal title and issue).
- Details to enable the panel to gain access to the output, if required (for example, a DOI or URL), or stating that the output is listed in REF2 or can be supplied by the HEI on request.

All outputs cited in this section must be capable of being made available to panels. If they are not available in the public domain or listed in REF2, the HEI must be able to provide them if requested by the REF team.

Evidence of the quality of the research must also be provided in this section. Guidance on this will be provided in the panel criteria documents. Where panels request details of key research grants or end of grant reports, the following should be provided:

- Who the grant was awarded to.
- The grant title.
- Sponsor.
- Period of the grant (with dates).
- Value of the grant.

4 Details of the impact (indicative maximum 750 words)

This section should provide a narrative, with supporting evidence, to explain:

- how the research underpinned (made a distinct and material contribution to) the impact
- the nature and extent of the impact.

The following should be provided:

- A clear explanation of the process or means through which the research led to, underpinned or made a contribution to the impact (for example, how it was disseminated, how it came to influence users or beneficiaries, or how it came to be exploited, taken up or applied).
- Where the submitted unit's research was part of a wider body of research that contributed to the impact (for example, where there has been research collaboration with other institutions), the case study should specify 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.
- Evidence or indicators of the extent of the impact described, as appropriate to the case being made.
- Dates of when these impacts occurred.

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

This section should list sources external to the submitting HEI that could, if audited, provide corroboration of specific claims made in the case study. Sources provided in this section should not be a substitute for providing clear evidence of impact in section 4; the information in this section will be used for audit purposes only.

This section should list sufficient sources that could, if audited, corroborate key claims made about the impact of the unit's research.

These could include, as appropriate to the case study, the following external sources of corroboration (stating which claim each source provides corroboration for):

- Reports, reviews, web links or other documented sources of information in the public domain.
- Confidential reports or documents (if listed, these must be made available by the HEI if audited).
- Individual users/beneficiaries who could be contacted by the REF team to corroborate claims*.
- Factual statements already provided to the HEI by key users/beneficiaries, that corroborate specific claims made in the case study and that could be made available to the REF team by the HEI if audited*.

* Where the sources are individuals who could be contacted or have provided factual statements to the HEI, the submitted case study should state only the organisation (and, if appropriate, the position) of the individuals concerned, and which claim(s) they can corroborate. Their personal details (name, position, contact details) must be entered separately on the REF submission system and not on REF3b. Details of a maximum of five individuals may be entered for each case study; these data will not be published as part of the submission.

The panels articulate how they will ensure that the underpinning research is of at least '2 star' quality. Provided they are satisfied that the quality threshold has been met, the quality of the underpinning research will not be taken into consideration in the assessment of the reach and significance of the claimed impact

THE UNDERPINNING RESEARCH

The generic guidance clarifies the requirements for the ‘underpinning research’ which must feature in the case studies

160. To be eligible for assessment as an impact, the impact described in a case study must have been underpinned by excellent research produced by the submitting unit, during the period 1 January 1993 to 31 December 2013. Each case study must describe the underpinning research, include references to one or more key research outputs, provide evidence of the quality of that research, and explain how that research underpinned or contributed to the impact.

- ‘Excellent research’ means that the quality of the research is at least equivalent to two star: ‘quality that is recognised internationally in terms of originality, significance and rigour’. Each case study must include references to one or more key research outputs that underpinned the impact and were produced by the submitting HEI, and evidence of the quality of the research as requested in the relevant panel criteria documents. Panels will consider the evidence of research quality, and may review outputs referenced in a case study. A panel will grade as unclassified a case study if it judges that the underpinning research outputs are not predominantly of at least two star quality.
- ‘Underpinned by’ means that the research made a distinct and material contribution to the impact taking place, such that the impact would not have occurred or would have been significantly reduced without the contribution of that research. Each case study must explain how (through what means) the research led to or contributed to the impact, and include appropriate sources of information external to the HEI to corroborate these claims. Where the panel judges that the submitted unit’s research did not make a distinct and material contribution to the impact, the case study will be graded as unclassified.

The final element in the impact assessment is the ‘impact template’, where UoAs need to describe their approach to supporting and enabling impact from research conducted

THE IMPACT TEMPLATE

Impact template (form REF3a)

149. Submissions must include a completed impact template, describing the submitted unit's approach during the assessment period (1 January 2008 to 31 July 2013) to supporting and enabling impact from research conducted within the unit. This information is intended to enable a more holistic and contextualised assessment of impact than would be possible from case studies alone, through the provision of:

- context for the individual case studies (though panels will recognise that case studies are underpinned by research over a timeframe that is longer than the assessment period, and that individual case studies may therefore not relate directly to the approach set out in the impact template)
- additional information about a wider range of activity within the submitted unit and its capacity for impact, than may be captured in the case studies.

150. The inclusion of the impact template also provides a mechanism for the assessment to take account of particular circumstances of a unit that may have constrained its selection of case studies (for example where it is a new department, or where the focus of its research may have limited opportunities for application). 151. The impact template will seek information on each of the following:

- context
- the unit's approach to impact during the period 2008-2013
- strategy and plans for supporting impact
- the relationship between the unit's approach to impact and the submitted case studies (recognising that individual case studies may not relate directly to the approach).

152. The impact template recognises that the submitted unit may not have had a specific strategy for impact in place during the REF assessment period, and therefore enables submissions to describe their approach to impact during the assessment period as well as their development of a strategy and plans for the future.

153. Panel criteria statements will provide further guidance on the kinds of information and evidence expected within each section of the impact template. Panels will assess the impact template in terms of the extent to which the unit's approach is conducive to achieving impacts of reach and significance.

154. The completed impact template should:

- a. Focus primarily on the approach taken by the submitted unit to achieving impact from its research – not the approach of the HEI as a whole. However, part of the submitted unit's approach could include a statement of how it has made use of institutional resources and infrastructure, and aligned with a wider HEI strategy.
- b. Not repeat detailed evidence that is included in case studies, though the completed impact template could refer to submitted case studies.
- c. Include evidence and specific details or examples of the submitted unit's approach, rather than broad general statements.

July 2011 guidance

The impact template will seek information on each of the following:

- context
- the unit's approach to impact during the period 2008-2013
- strategy and plans for supporting impact
- the relationship between the unit's approach to impact and the submitted case studies (recognising that individual case studies may not relate directly to the approach).

Each of the Main Panels devotes considerable time to spelling out their expectations in their guidance. This is unchanged from the draft guidance

	PANEL A	PANEL B	PANEL C	PANEL D
CONTEXT	Institutions should describe the main non-academic user groups, beneficiaries or audiences for the unit's research, the main types of impact specifically relevant to the unit's research, and how these relate to the range of research activity or research groups in the unit.	<ul style="list-style-type: none"> Describe the main non-academic user groups, beneficiaries or audiences for the unit's research. Describe the main types of impact specifically relevant to the unit's research, and how these relate to the range of research activity or research groups in the unit 	Submissions should describe the main non-academic user groups, beneficiaries or audiences for the unit's research, the main types of impact specifically relevant to the unit's research, and how these relate to the range of research activity or groups in the unit.	Who are the main non-academic user groups, beneficiaries or audiences for the research in the submitting unit? What are the main types of impact specifically relevant to that research? How do these relate to the range of research activity or research groups in the unit?
APPROACH TO IMPACT	<p>Institutions should describe the unit's approach to interacting with non-academic users, beneficiaries or audiences and to achieving impacts from its research, during the period 2008 to 2013. This could include details of, for example:</p> <ul style="list-style-type: none"> how staff in the unit interacted with, engaged with or developed relationships with key users, beneficiaries or audiences to develop impact from the research carried out in the unit <i>[Note that within the environment template, submissions should explain research collaborations with users, and how their relationships/interactions inform the development of the unit's research activity/strategy].</i> evidence of the nature of those relationships and interactions evidence of follow-through from these activities to identify resulting impacts how the unit specifically supported and enabled staff to achieve impact from their research how the unit made use of institutional facilities, expertise or resources in undertaking these activities other mechanisms deployed by the unit to support and enable impact. <p>www.publicengagement.ac.uk</p>	<p>Describe the unit's approach to its interaction with non-academic users, beneficiaries or audiences and to achieving impacts from its research, during the period 2008 to 2013. This could include details of, for example:</p> <ul style="list-style-type: none"> How staff in the unit interacted with, engaged with or developed relationships with key users, beneficiaries or audiences to develop impact from the research carried out in the unit. Evidence of the nature of those relationships and interactions. This may include, for example, participation in schemes such as Research Council knowledge exchange schemes and industrial doctoral training centres, and interactions through training provided or consultancy undertaken, where these have led to beneficial relationships. Evidence of follow-through from these activities to identify resulting impacts. Evidence of an agile approach to opportunities. How the unit specifically supported and enabled staff to achieve impact from their research and ways in which they are rewarded or recognised for achieving impact. How the unit made use of institutional facilities, expertise or resources in undertaking these activities. Other mechanisms deployed by the unit to support and enable impact. 	<p>Submissions should describe the unit's approach and its infrastructural mechanisms to support staff to achieve impact, during the period 2008-2013.</p> <p>This may include (but is not limited to):</p> <ul style="list-style-type: none"> how staff in the unit engaged with or developed relationships with key users in order to develop impact from the unit's research evidence of the nature of those relationships how the unit has specifically supported staff to enable impact to be achieved from their research how the unit has made use of institutional support, expertise, or resources to provide support to its staff. 	<p>What was the unit's approach to interacting with non-academic users, beneficiaries or audiences (during the period 2008 to 2013) where, for example, the impacts may not have been anticipated when the research was first undertaken; or there was always a planned causal link between the research and its subsequent impact; or the subsequent pathways to impact were diffuse and non-linear? Details could include (but are not limited to), for example:</p> <ul style="list-style-type: none"> How staff in the unit interacted with, engaged with or developed relationships with key users, beneficiaries or audiences to develop impact from the research carried out in the unit (as distinct from research collaborations detailed in the environment template). Evidence of the nature of those relationships and interactions. Evidence of follow-through from these activities to identify resulting impacts. How the unit specifically supported and enabled staff to achieve impact from their research. How the unit made use of institutional facilities, expertise or resources in undertaking these activities. Other mechanisms deployed by the unit to support and enable impact.

	PANEL A	PANEL B	PANEL C	PANEL D
STRATEGY AND PLANS	Institutions should describe how they are developing a strategy for achieving impact, including goals and plans for supporting and enabling impact from current and future research.	Describe how the unit is developing its strategy for achieving impact, including its goals for supporting and enabling impact from its research in the future.	Submissions should describe clearly stated goals and plans for maximising the potential for impact from current and future research.	What are the goals and plans for the unit to support impact from research in the future? How is the unit developing its strategy for impact?
RELATIONSHIP TO CASE STUDIES	Institutions should describe how the selected case studies relate to their approach to achieving impact. This could include details of, for example, how particular case studies exemplify aspects of the approach, or how particular case studies informed the development of the unit's approach.	The sub-panels do not expect that submitted case studies will necessarily have arisen out of the approaches to achieving impacts described above for the period 2008 to 2013. However, where this is relevant, they would welcome details of, for example, how particular case studies exemplify aspects of the approach, or how particular case studies informed the development of the unit's approach.	Submissions should describe the relationship between the support for impact described and the case studies (although the main panel acknowledges that impacts may have been serendipitous rather than planned, or may have arisen from research prior to the period 2008-2013). This could include details of how, for example, particular case studies exemplify aspects of the approach adopted, or how particular case studies informed the development of the unit's approach.	How do the selected case studies relate to the unit's approach to achieving impact, as described above? This could include details of, for example, how particular case studies exemplify aspects of the approach, or how particular case studies informed the development of the approach. It is, however, recognised that case studies are underpinned by research over a timeframe that is longer than the assessment period, and that individual case studies may, therefore, not relate directly to the approach set out above.

Some specific references to public engagement are made in the different documents, listed in this section. This section details what these are.

PUBLIC ENGAGEMENT AND IMPACT

REF FRAMEWORK DOCUMENT

161. There are many ways in which research may have underpinned impact, including but not limited to:

- c. Impacts on, for example, public awareness, attitudes, understanding or behaviour that arose from engaging the public with research. In these cases, the submitting unit must show that the engagement activity was, at least in part, based on the submitted unit's research and drew materially and distinctly upon it.

Panel A

Panel A provides this clarification:

For case studies claiming impact from public engagement:

- There must be a clear link between the research and the engagement or involvement activity (see 'guidance on submissions' paragraph 161c).
- Evidence should be provided about dissemination, as well as a clear explanation about the significance or the benefits to audiences.
- The activity should go beyond 'business as usual' engagement or involvement (for example, there was active involvement of service users and/or the public, the activity informed the focus of the research or created widespread interest, was particularly innovative, or created legacy resources).

Panel D

The panel includes these prompts for 'evidence' of impact arising from public engagement:

- Information about the number and profile of people engaged and types of audience. Follow-up activities or media coverage. Evidence of sales, downloads of linked resources or access to web content.
- Descriptions of the social, cultural or other significance of the research insights with which the public have engaged. Evaluation data. User feedback or testimony. Critical external reviews of the engagement activity. Evidence of third party involvement, for example how collaborators have modified their practices, contributions (financial or in-kind) by third parties to enhance services or support for the public, or evidence of funds from third parties to enhance or extend the engagement activity. Evidence of sustainability, through, for example, a sustained or ongoing engagement with a group, a significant increase in participation in events or programmes, continuing sales, downloads, or use of resources.

Panel B**Impacts arising from public engagement activity**

Engaging the public with research is an activity that may lead to impact. Sub-panels will welcome case studies that include impact achieved in this way, either as the main impact described or as one facet of a wider range of impacts.

Public engagement is a very broad area, not all of which is underpinned by research. Case studies which include impacts that derive from engaging the public with research must:

- At least in part, be based on specific research or a body of research carried out in the submitted unit, and explain clearly which particular aspects of the research underpinned the engagement activity and contributed to the impact claimed.
- Include evidence of the reach of the impact. This should extend beyond simply providing the numbers of people engaged and may also, for example, include:
 - information about the types of audience
 - whether there was secondary reach, for example from follow-up activity or media coverage
 - other quantitative indicators such as evidence of sales, downloads of linked resources, and/or access to web content.
- Include evidence of the significance of the impact. This should include a description of the social, cultural or other significance of the research insights with which the public have engaged. Examples of the evidence that might be provided for this include:
 - evaluation data
 - user feedback or testimony
 - critical external reviews of the engagement activity
 - evidence of third party involvement, for example how collaborators have modified their practices, contributions (financial or in-kind) by third parties to enhance services or support for the public, or evidence of funds from third parties to enhance or extend the engagement activity
 - evidence of sustainability, through, for example, a sustained or ongoing engagement with a group, a significant increase in participation in events or programmes, continuing sales, downloads, or use of resources.

Impacts arising from public engagement activity

81. Public engagement is an activity that may lead to the impact of research. Sub-panels will welcome case studies that include impact achieved in this way, either as the main impact described or as one facet of a broader range of impacts.

82. Case studies which include impacts that derive from engaging the public with research must:

a. At least in part, be based on specific research or a body of research carried out in the submitted unit, and explain clearly which particular aspects the research underpinned the engagement activity and contributed to the impact claimed.

b. Include evidence of the reach of the impact. This should extend beyond simply providing the numbers of people engaged and may also, for example, include:

- information about the types of audience
- whether there was secondary reach, for example from follow-up activity or media coverage
- other quantitative indicators such as evidence of sales, downloads of linked resources, and/or access to web content.

c. Include evidence of the significance of the impact. This should include a description of the social, cultural or other significance of the research insights with which the public have engaged. Examples of the evidence that might be provided for this include:

- evaluation data
- critical external reviews of the engagement activity
- evidence of third party involvement, for example how collaborators have modified their practices
- user feedback or testimony
- evidence of sustainability through, for example, a sustained or ongoing engagement with a group, a significant increase in participation in events or programmes or use of resources

83. Impact takes place through a wide variety of mechanisms. The links between research and its consequences may be direct and causal, or diffuse and non-linear.

It may effect change or enrichment for local, national or international communities, groups or individuals. Consequently public engagement may be an important feature of many case studies, typically as the mechanism by which the impact claimed has been achieved. The sub-panels will take all these factors into account as appropriate when weighing the evidence provided.

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