Preparation for Research Assessment Exercise 2026

Planning for Impact Case Studies & Environment Overview Statements

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ORKTS
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For CUHK use only

Agenda

- **Identifying research impact**

- **Preparing impact cases**

- **Tips on writing UoA RAE statements**

  - Impact Case Study/ies (20% RAE score)

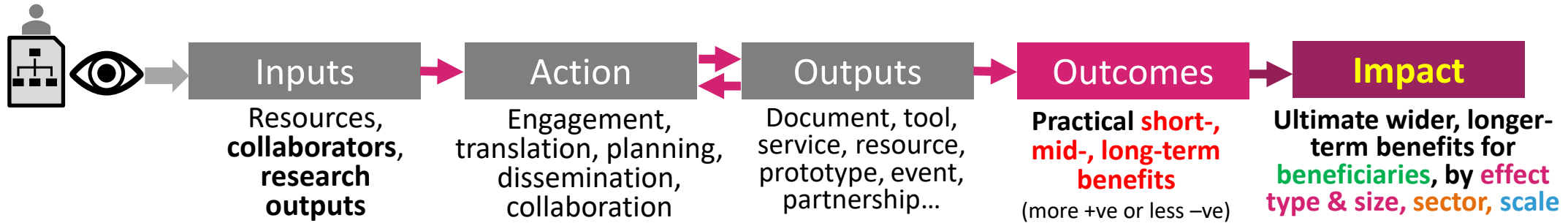 - Environment Overview Statement (15% RAE score)

RAE 2026 research impact definition

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

RGC grant proposals: "Pathways to Impact Statement"

(a)   The Pathways to Impact Statement should address the following:

(i)   *Who are the potential beneficiaries* of the proposed research in the *short (1-3 years), medium (4-10 years) and long term (over 10 years)*?

(ii)   How will the potential beneficiaries benefit? What will be the *objective demonstrable/measurable benefits beyond academia*?

(iii) *What will be done during and / or after the project* to increase the likelihood of achieving the identified benefit and reaching the identified beneficiaries?

(b) The statement should be written in a way that is comprehensible to a lay person.

(c) For the purpose of [GRF, CRF, RIF, TRS, AoE, STG], impact shares the same definition in the Research Assessment Exercise…

Impact planning: logic model

Inputs	Action	Outputs	Outcomes	Impact
Resources, **collaborators**, **research outputs**	Engagement, translation, planning, dissemination, collaboration	Document, tool, service, resource, prototype, event, partnership...	**Practical short-, mid-, long-term benefits** (more +ve or less –ve)	**Ultimate wider, longer-term benefits for beneficiaries, by effect type & size, sector, scale**

1. knowledge transfer/exchange   *2. implementation/uptake*

- **Impact/KT pathway:** stakeholder/end-user mapping + engagement + *uptake*
- **Objectives & key results (OKRs)** related to proposed pathway type/s (eg, technology, policy, social), impact activities, change to be measured, measurement method, data type, etc

1. Pathway/activity evaluation
- **Number** of knowledge transfer outputs, participants, attendees/viewers/readers & satisfaction level
- **Short- to mid-term outcomes**
  - Knowledge, awareness, attitudes, understanding, opinions, assumptions, acceptability
  - Effective intervention/learning/training, abilities, skills, early engagement, further planning
- **Mid- to long-term outcomes**
  - Products/services developed & marketed, performance, policies, practices, innovation
  - Behaviours, action, decisions, support/financing, achievements, self-efficacy, advocacy
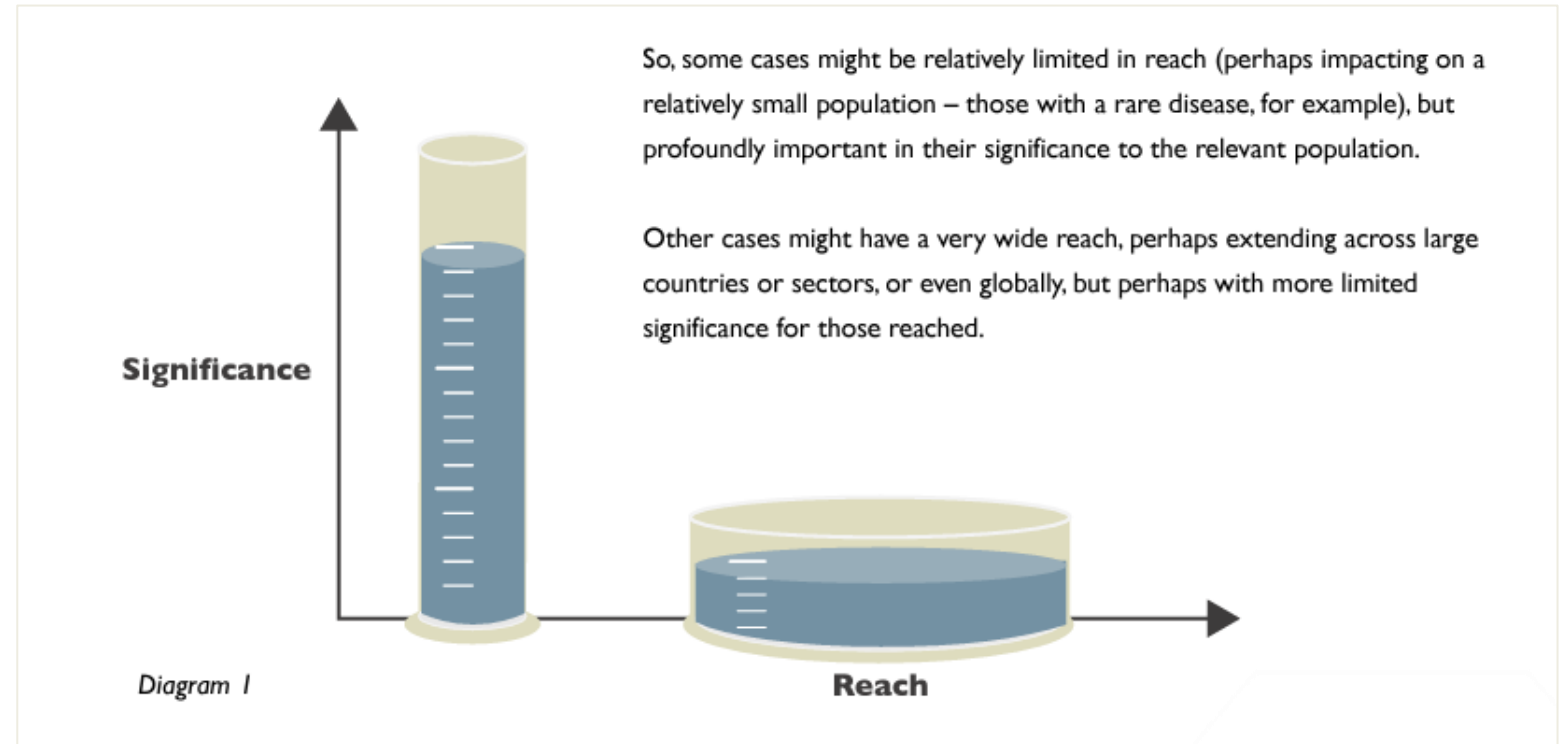
2. Impact evaluation
- Long-term, sustainable improvements in economy, society, culture, public policy or services, health, the environment or quality of life
- **Reach** (beneficiary sector, region, scale) and **significance** (benefit effect/type, size, duration)
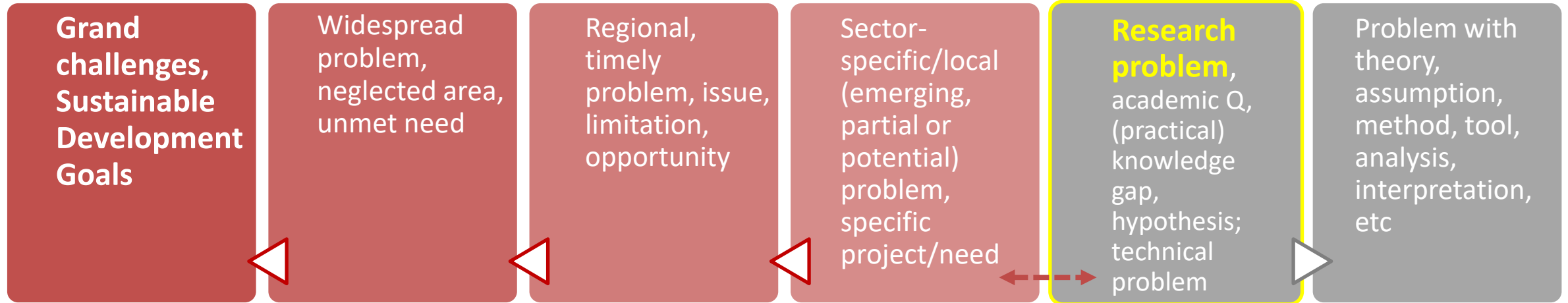
RAE 2026 research impact assessment

- *"**Reach**" is the extent and/or diversity of the **beneficiaries** of the impact, as relevant to the nature of the impact*

- *"**Significance**" is the degree to which the impact has **enabled, enriched, influenced, informed, or changed** the **performance, policies, practices, products, services, understanding, awareness, or well-being** of **the beneficiaries***

4*	**Outstanding** impacts in terms of their reach and significance.
3*	**Considerable** impacts in terms of their reach and significance.
2*	**Some** impacts in terms of their reach and significance.
1*	**Limited** impacts in terms of their reach and significance.
u/c	The impact is of either no reach or no significance; or the impact was not eligible; or the impact was not underpinned by research produced by the submitting unit; or nil submission.

RAE research impact: reach versus significance

RESEARCH IMPACT IN HONG KONG UNIVERSITIES: Evidence from the Research Assessment Exercise 2020

So, some cases might be relatively limited in reach (perhaps impacting on a relatively small population – those with a rare disease, for example), but profoundly important in their significance to the relevant population.

Other cases might have a very wide reach, perhaps extending across large countries or sectors, or even globally, but perhaps with more limited significance for those reached.

Significance

Diagram 1

Reach

Real-world vs research problems

| Grand challenges, Sustainable Development Goals | Widespread problem, neglected area, unmet need | Regional, timely problem, issue, limitation, opportunity | Sector-specific/local (emerging, partial or potential) problem, specific project/need | Research problem, academic Q, (practical) knowledge gap, hypothesis; technical problem | Problem with theory, assumption, method, tool, analysis, interpretation, etc |

HK RAE 2020
1. Agriculture & fishery
2. Health & medicine
3. Environment, climate & energy
4. Communication, internet & technology
5. Business (products, process, practice)
6. Public policy
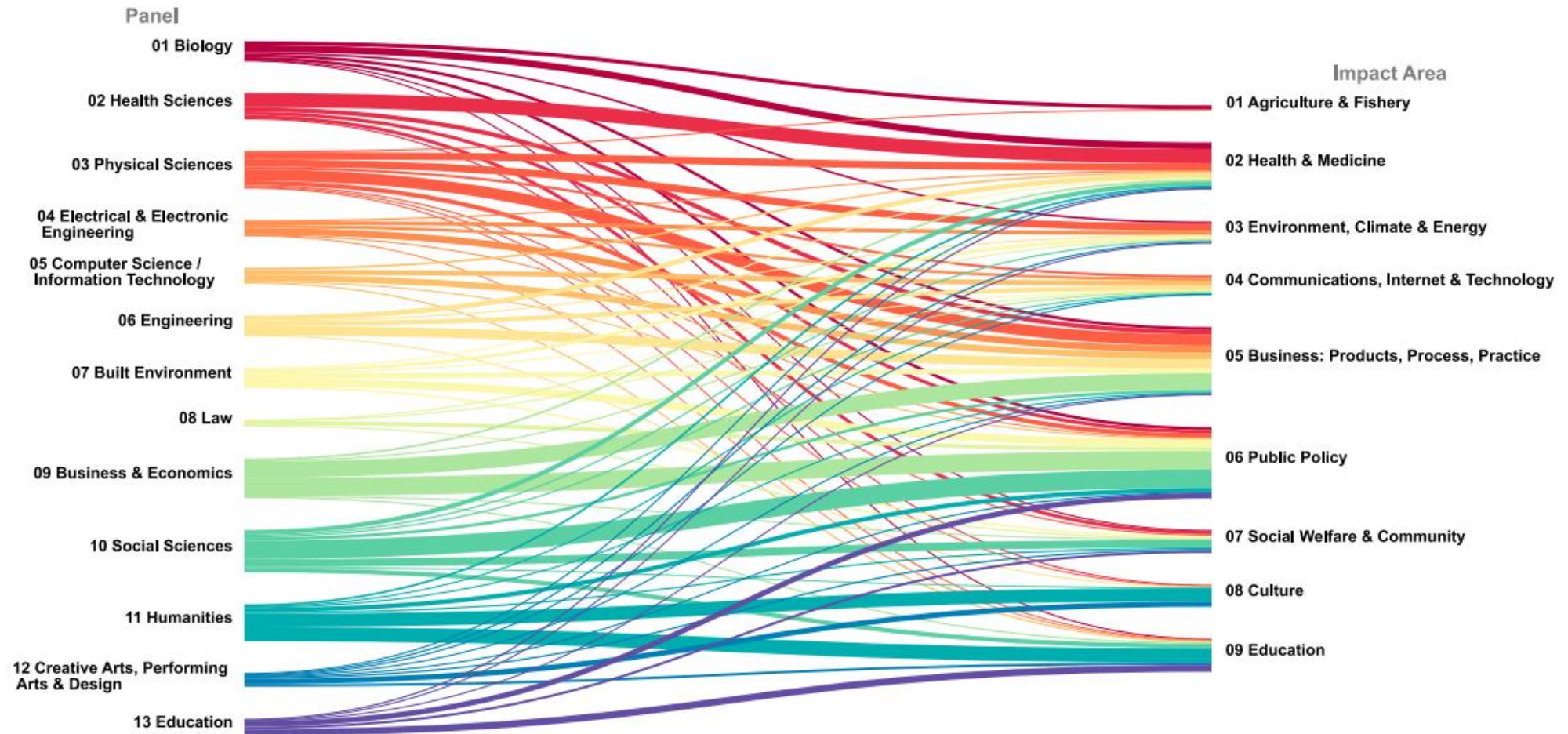7. Social welfare & community
8. Culture
9. Education

UK REF 2014
1. Politics
2. Economy
3. Society
4. Technology
5. Law
6. Environment
7. Health
8. Culture

UK REF 2021
1. Health & well-being of people, & animal welfare
2. Creativity, culture & society
3. Social welfare
4. Commerce & the economy
5. Public policy, law & services
6. Production
7. Practitioners & delivery of professional services, enhanced performance or ethical practice
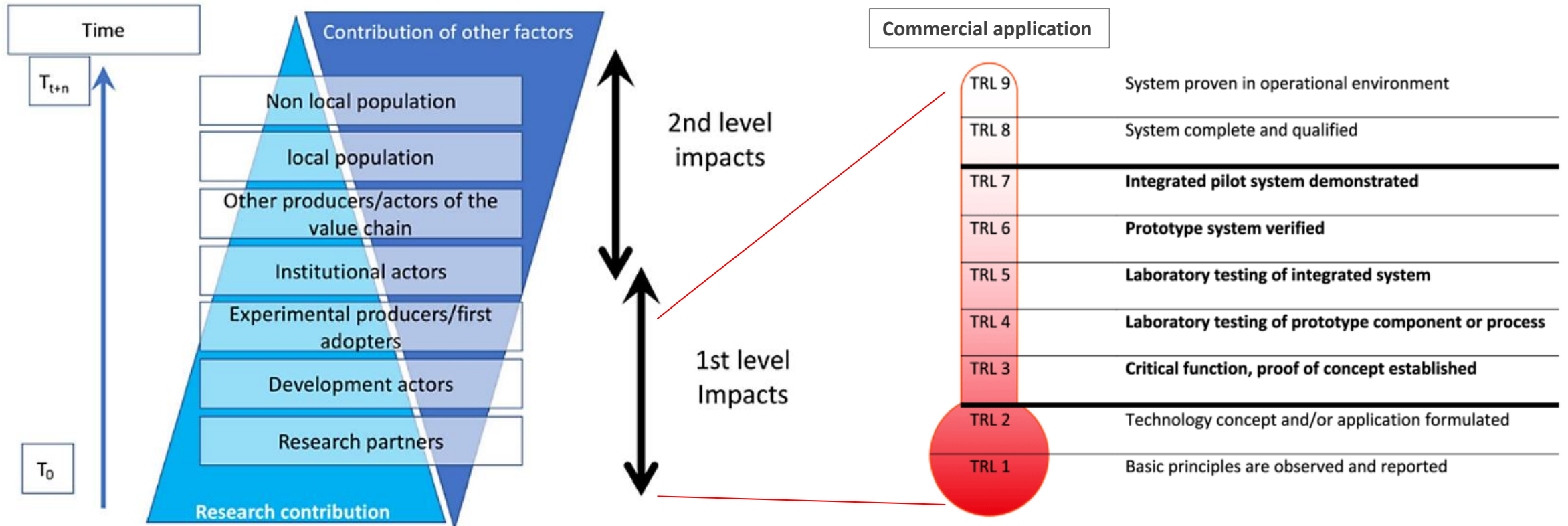8. Environment
9. Understanding, learning & participation

Research impact areas/types by panel area, RAE 2020

Panel

01 Biology
02 Health Sciences
03 Physical Sciences
04 Electrical & Electronic Engineering
05 Computer Science / Information Technology
06 Engineering
07 Built Environment
08 Law
09 Business & Economics
10 Social Sciences
11 Humanities
12 Creative Arts, Performing Arts & Design
13 Education

Impact Area

01 Agriculture & Fishery
02 Health & Medicine
03 Environment, Climate & Energy
04 Communications, Internet & Technology
05 Business: Products, Process, Practice
06 Public Policy
07 Social Welfare & Community
08 Culture
09 Education

Research impact potential, maturity & contribution

Framework for UoA impact performance

2* Research Outputs → Outcomes — Key performance indicators (KPIs) → **Impact**

2* Research Outputs
Papers, books, patents, software, multimedia...
of international standing (originality, significance, rigour)

Outcomes
Short-, mid-, long-term benefits

Impact
Societal change: significance, reach, impact share (attribution/contribution)
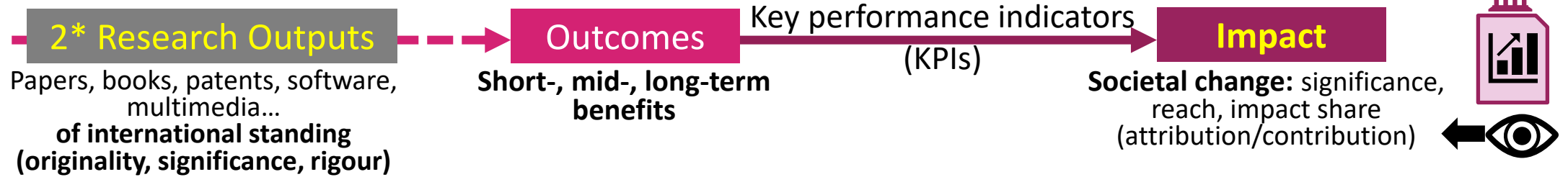
1* Limited **2*** Some **3*** Considerable **4*** Outstanding

Common KT pathways

TECHNOLOGY transfer
- Non-academic consultancy/ contracts/ partnerships with industry & businesses
  → product/service commercialisation → valuation, jobs, sales, use → **+ve effect on society**
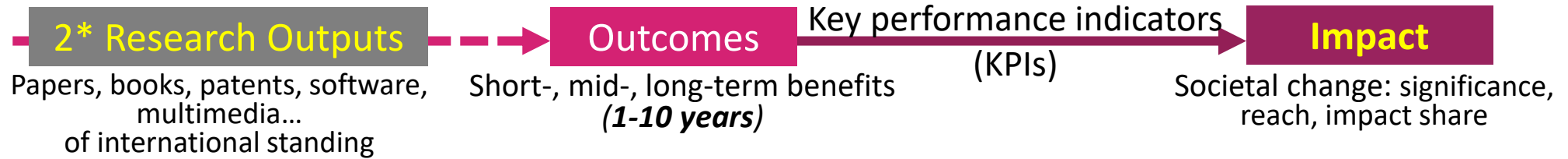
POLICY engagement
- Governance, policy, guideline, regulation development/ commissions; consultation with policy-makers
  → implementation/monitoring/evaluation/adaptation cycles → **+ve effect on society**

COMMUNITY/PROFESSIONAL engagement
- Education/capacity building; enterprise/ service; public/ practitioner/ organisation/ media outreach
  → circulation/attendance/feedback → uptake/improvements → **+ve effect on society**

Impact types: Economy, society, culture, public policy or services, health, environment or quality of life

Research impact timeline

2* Research Outputs → Outcomes — Key performance indicators (KPIs) → **Impact**

2* Research Outputs
Papers, books, patents, software, multimedia…
of international standing

Outcomes
Short-, mid-, long-term benefits
(1-10 years)

Key performance indicators
(KPIs)

Impact
Societal change: significance, reach, impact share

Knowledge transfer & uptake process

Can take > 10 years of knowledge transfer, uptake & KPI collection
Product/Policy/Practice/People… → Feedback, evaluation, surveys, impact studies…

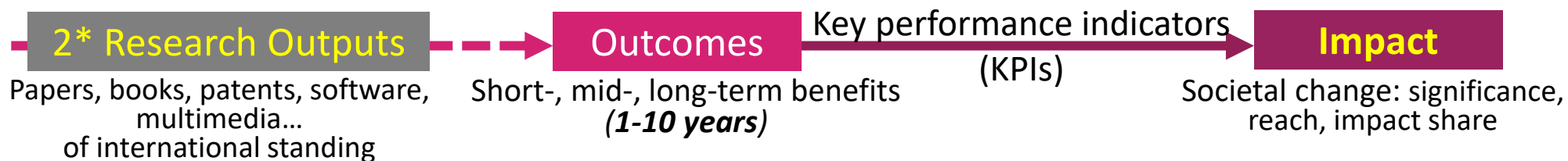**SMART metrics**

Specific **M**easurable **A**chievable **R**elevant **T**imebound

11

Research impact timeline

2* Research Outputs ⇢ **Outcomes** — Key performance indicators (KPIs) → **Impact**

Papers, books, patents, software, multimedia…
of international standing

Short-, mid-, long-term benefits
(1-10 years)
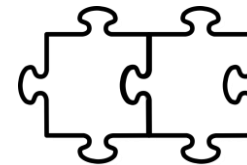
Societal change: significance, reach, impact share

RAE 2026 | **6 references** to UoA's 2* research | **10 sources** of impact evidence

~20 years of knowledge creation & transfer

1 Jan 2006 to 30 Sept 2025

2026 RAE period (6 years)

1 Oct 2019 to 30 Sept 2025

Success stories, awards, KPF/SKPF, policy/ESG…

Your UoA's relevant research evidence:

- **Portfolio:** *Closely related works, series on a theme, multiple aspects of a solution/problem*
- **Chronology:** *Building track record in a specialism, accumulating evidence for a model/approach, multiple settings/audiences*
- **Process:** *Development, translation & application as coherent knowledge creation/implementation pathway*

Can be non-eligible academic staff (eg, part-time researchers and staff appointed after 1 September 2023) or no longer employed by the university

2026 RAE **Research Outputs**?

0-6 years of knowledge transfer & KPI collection? **?**

12

Examples of impact areas & KPIs

Impact area (part of reach)	Key performance indicators* (include evidence of causation, significance & reach)
(1) Economy (inc. business)	Policy/practice/technology improved productivity, business/work performance; licences, **sales, profit, jobs**; professional standards & behaviour; **economic growth**
(2) Society (inc. education, communications/internet/ technology, social welfare/community)	Improved public understanding/debate, eg, citation in discussion, consultation, policy, (inter)national agency, training curricula documents; **improved engagement** (with science); **improved social outcomes**, return on investment, inclusion, welfare, equality; service satisfaction, cost-effectiveness, organisational performance
(3) Culture	External review of event/artefact; user feedback/factual testimony; **broadcasting or tourism data**; public/charity funding, business/sales/jobs; **impacts on heritage**
(4) Public policy or services	Documented evidence of policy debate; **uptake & citations** in adopted policy/legislation; improved service accessibility, quality, cost-effectiveness; evidence of use, sustainability, **improved inclusion, welfare, equality**
(5) Health (inc. medicine) **& Quality of life**	Citation in policy, regulatory, guidelines or other documents; debate in media or among practitioners affected **attitudes/behaviours**; incorporation in CPD/training; health/trial outcomes, disease control & prevention; service satisfaction, cost-effectiveness, organisational performance; **public & animal health/welfare**; QoL
(6) Environment (inc. climate/energy, agriculture/fishery)	Traceable uptake/reference to impact on planning **decision outcomes, policy, codes**, legislation or industry guidelines, sales, product improvements leading to **quantifiable environmental benefits**; sustainable management; risk reduction

*__Verifiable evidence:__ *non-academic citations in agreements, policies, debates; reviews; (media) reports; evaluation/audit data; formal evaluation/article; awards, independent testimony…*

Examples of impact & evidence

Impacts on the environment	
Impacts on the environment where the beneficiaries may include tourism, agriculture, fisheries, government, and society	• The management of an environmental risk or hazard has changed. • The management or conservation of natural resources (e.g. water) has been influenced or changed. • Practices or policies affecting biodiversity have changed.
Impacts on health where the beneficiaries may include patient groups, industry, and society	• A new diagnostic or medical technology has been adopted. • A new drug or drug target has been licenced by industry. • Decisions by health service or regulatory authority have been informed by research.
Impacts on public policy and services where the beneficiaries may include non-governmental organisations (NGOs), government, and society	• Policy decisions or changes to legislation, regulations, or guidelines have been informed by research. • Policy or public debate has been stimulated or informed by research evidence. • The work of public or NGOs has been influenced.
Impacts on quality of life and welfare where the beneficiaries may include farming, fisheries, food industry, and society	• Improved food safety regulations. • Improved standards of animal welfare. • Improved agricultural practices.
Impacts on education and public understanding of science where the beneficiaries may include educational institutions, media, and society	• Changes in school curriculum. • Educational programmes for broadcast media have been influenced. • The development of new museum exhibits has been informed.

Table B: Examples of Evidence or Indicators for Impact

Quantitative indicators	• Quantitative data relating to cost-effectiveness. • Performance measures (e.g. sales, turnover, profits associated). • Audience or attendance figures.
Documentary evidence	• Documented changes to public policy / legislation / regulations / guidelines / standards. • Evidence of policy or public debate. • New professional codes and standards. • Application or incorporation in professional best practice, training and continuing development materials. • Commercial adoption of new technology, process, knowledge, or concept. • Licences awarded or products brought to market.
Independent testimony	• Formal acknowledgements of and/or evaluations by relevant beneficiaries, bodies and organisations.

UGC 大學教育資助委員會 University Grants Committee

Sitemap | A **A** A | 繁 | 简

| UGC Home | About the UGC | Events |

Home > UGC Activities > Research > Research Assessment Exercise > RAE 2020 > Panel-specific Guidelines

Panel-specific Guidelines on Assessment Criteria and Working Methods for RAE 2020 (September 2018)

- 📄 Panel 1 – Biology
- 📄 Panel 2 – Health Sciences
- 📄 Panel 3 – Physical Sciences
- 📄 Panel 4 – Electrical & Electronic Engineering
- 📄 Panel 5 – Computer Science / Information Technology
- 📄 Panel 6 – Engineering
- 📄 Panel 7 – Built Environment
- 📄 Panel 8 – Law
- 📄 Panel 9 – Business & Economics
- 📄 Panel 10 – Social Sciences
- 📄 Panel 11 – Humanities
- 📄 Panel 12 – Creative Arts, Performing Arts & Design
- 📄 Panel 13 – Education

Impact evidence

Testimonials from partner organisation, beneficiary, etc

The stakeholder/research user should be personally invited (a.s.a.p., maybe with prompts) to:

1. Discuss with the researchers **what they have contributed and its impact**, to provide a basis for your feedback and testimonial.

2. Provide **factual testimony** directly to the researchers, in written form (eg, electronically) on headed paper with a signature. Include your **name, role, organisation and contact details.**

3. Include specific details of the **names, roles and institutions of the researchers** that were engaged with as well as specific **details of the research** (eg, titles of research outputs and dates of publication).

4. Explain the **context for engagement** with the researchers and their research. What was the issue? What was the input you sought? How did you engage with the researchers/research?

5. Describe the **contribution** the researchers and their research made (eg, expert advice; a specific piece of research; a synthesis of existing research; a new output or product?)

6. **Describe the impact this research had. How did their contributions create change? To what extent did the research influence change (ie, was it the main piece of evidence or one of many)? What specifically changed as a result of the research, and who benefited? What was the timeframe for the changes? What was the reach and significance of the changes?**

7. Where possible, you may also wish to include **quantitative evidence of the impact to accompany the qualitative testimony** and **references to any related impact assessments.**

https://www.ref.ac.uk/media/1426/guide-for-testimonies.pdf
https://blogs.lse.ac.uk/impactofsocialsciences/2018/06/08/guidance-on-testimonials-and-statements-to-corroborate-impact/

Incorporating quotes into narrative

✔️

❌

- Subheads
- Who
- Attribute

✓ **Details of the impact**

1. Improving efficiency of Y production

…As highlighted by the Director of X Company, "*the discovery of ABC by the CUHK team has led to…*" [S1]….

2. Increasing employment and well-being

…The research has also brought socio-economic benefits, according to X Company President:

- Who
- Attribute
- Italic block quote if long

> "*Thanks to the CUHK technology, we have expanded production plants in 3 rural locations in China, employing 5000 people and increasing local employment by 5% in the past 5 years… We are also able to transform the lives of staff and their families by…*" [S2, Ch. 5 citing [R1]-[R6]].

- What, When, Who
- Link to Research
- Highlight data

✓ **Sources to corroborate the impact**

[S1] Letter of support (4 Mar 2023) from Director of X Company, corroborating the use of underpinning research [R1]-[R3] in their strategy of Y production.

[S2] X Company Annual Report 2023, citing underpinning research [R1]-[R6] and corroborating its link to local employment and well-being (Ch. 5 & Table 5).

✕ **Details of the impact**
This discovery improved the efficiency of Y production and helped increase employment rates in China [S1, S2].

✕ **Sources to corroborate the impact**
[S1] Testimonial.
[S2] Company Report.

Associations between evidence type & impact score, REF 2014

Figure 2: Spearman correlation between the indicative score and the amount of various types of evidence; there is a column for each subject panel.

	A: Biological Sciences & Medicine	B: Physical Sciences & Engineering	C: Social Sciences	D: Arts & Humanities
Activity	-0.03	-0.02	-0.04	-0.06
Article	0.19	0.09	0.02	-0.01
Award	-0.06	0.01	0.01	0
IP	0.05	0.05	-0.01	0
Legal	-0.03	0	0	0
Media	-0.01	0.07	-0.07	0
Report	0.19	0.11	0.15	0.08
Testimonial	-0.15	0.04	0.08	0.17

Past impact case studies

Past impact case studies

https://impact.ugc.edu.hk/

https://impact.ref.ac.uk/casestudies/

https://results2021.ref.ac.uk/impact

What research impact is & isn't

✓

✗

- ✓ **Positive effects on, constructive changes or benefits to the activity, attitude, awareness, behaviour, capacity, opportunity, performance, policy, practice, process, or understanding**, of an audience, beneficiary, community, constituency, organisation, or individuals

- ✓ **Reduction or prevention of harm, risk, cost, or other negative effects**

- ✓ **Impact based on <u>relevant</u> underpinning research**

- ✓ **Non-academic** influence, evidenced by non-academic citations (altmetrics), reports, testimonials, social media evidence of engagement/influence/impact…

- ✓ **Media reviews of effects of research mobilisation, impacts, testimonials,** or media outreach as part of an evaluated community engagement/education programme

- ✗ **Journal impact factors** & academic citations

- ✗ **Academic significance** & influence on research field

- ✗ **Advancement of academic knowledge within higher education sector**

- ✗ **Academic** & research awards/grants

- ✗ **Impacts on students & teaching within submitting university**

- ✗ **Impact only on limited research sample;** implications from an article; **future/**potential impact

- ✗ **General assistance, service, aid, consultancy, esteem measures**

- ✗ **Getting a patent, or making guidelines/policy**: these are only outputs along the KT/impact pathway & narrative

- ✗ **Media exposure** about research achievements

Impact Case Study

Section
(1) Summary of the impact: Brief (headline) summary of the claimed impact in the case study
(2) Underpinning research: Descriptions of the knowledge, insights, methodologies, solutions and/or inventions brought about by UoA research that underpinned the impact, an outline of the underpinning research, when it was undertaken and the key researchers concerned [& how a continued case expands on previous case]
(3) Period when the underpinning research was undertaken *(1 Jan 2006 to 30 Sept 2025)*
(4) References to the research: 6 References to key outputs from the underpinning research, including name of author(s), title of output, year and location of publication, and evidence of the quality of the research, as requested by respective panels in the panel-specific criteria and working methods
(5) Details of the impact: Detailed narrative explaining how research led to or underpinned the impact, the beneficiaries and the nature of the impact, when the impact occurs/occurred, evidence (eg, indicators) illustrating the extent of the impact, how innovation/impact will be sustained, and how the submitting unit made contributions to the impact in the assessment period from 1 October 2019 to 30 September 2025
(6) Sources to corroborate the impact: 10 Sources external to the submitting university that could provide corroboration to support the statements and claims in the impact case study, and details on how the sources can be accessed for audit purposes

No. of cases depends on size of UoA (1 for 3–15; 2 for 16–30; 3 for 31–45; 4 for 46–85, +1 for every 40 more)
https://www.ugc.edu.hk/doc/eng/ugc/rae/2026/draft_gn_oct23.pdf

Admin checklist

Are the UGC's format requirements fulfilled?

❑ Maximum of four A4 size pages

❑ 12 point size in Times New Roman

❑ Single-line spacing

❑ 2 cm margin all around

Are basic components present and correct/eligible?

❑ Are **all 6 sections** filled in; are sections (1), (2) & (5) within the allowed word limits (100/500/750 words)?

❑ Is this a **continued** case study from RAE 2020 and is there a brief statement on impact development (in the header)?

❑ Is the impact within the **period of 1 October 2019 to 30 September 2025** (in sections 1 or 5)?

❑ Is the underpinning research within the **period of 1 January 2006 to 30 September 2025** (in section 3)?

❑ Are there up to **6 references** to the underpinning research (in section 2) and are they cited in the text?

❑ Are there up to **10 sources** to corroborate the impact (in section 6), are they all cited in the text, and are the sources included in the PDF file?

Review checklist

1. Is this a continued case study from RAE 2020, and does a statement clearly explain how impact has improved (in the header or in section (2)?
❑ Has there been further research engagement/mobilisation & expanded reach and/or significance?

2. Does the Title summarise the impact and does the Impact Summary clearly state the impact scope/goal, activity/pathway, benefits, beneficiaries, and period?
❑ Is there a real-world societal problem & goal?
❑ Are the KT pathway, collaborators & societal impacts (types, reach & significance, period) clearly summarised?

3. Comment on underpinning research: clarity of who did what and when, 2* quality, and potential impact
❑ Are the researchers, study problems, findings & potential use/audience (& any initial engagement process) clear?
❑ Is the reference list in section 4 annotated to explain 2* quality (including an additional grants/prizes list)?

4. Comment on "Reach" of impact and presented evidence
❑ Is the reach (beneficiary sectors/groups, locations/settings & numbers) clear and clearly supported?

5. Comment on "Significance" of impact and presented evidence
❑ Is the significance (size/extent of impact, impact types, timeliness & importance, duration) clear and clearly supported?

6. Comment on attribution and contribution of the underpinning research to the impact (i.e., relevance of research, quality of pathway, and if potential impact is realised)
❑ Is the cause-and-effect relation between research and impact clear? Is the KT pathway from research to society clear & clearly supported? Do the claims match the evidence? Is the evidence from non-academic, external, unbiased sources?
❑ Is the potential impact from section 2 fully realised in section 5, or were other potential audiences and impact types missed?

7. Any other comments, including on language quality and writing style?
❑ Narrative flow, logic/chronology, lay language, organisation & presentation (subheadings, lists, quotes, citations), grammar

Impact Case Study (main sections)

Section	Expected content from 4* examples
(1) Summary of the impact: *100 wds, non-technical narrative*	• *Impact-related (not research) problem/context/goal, findings/solution & impact pathway, >2 **impac<u>ts</u> claimed** (inc. **types, what, whom, when, where; reach & significance**), KT awards/recognition in RAE period (**1 Oct 2019 to 30 Sept 2025**)*

Example:

[Societal problem/need.] CUHK research into [solution for problem] has allowed [KT pathway/event/activity] to be performed among [primary stakeholder group/sector X], with the partnership of [collaborator Y]. This [research-based initiative/collaboration, etc] has led to [overall achievement/impact A, reaching a total of … people between 20xx and 20xx], namely:
(1)   [Benefit type 1] among [beneficiary group Z1]
(2)   [Benefit type 2] among [group Z2]
(3)   [Benefit type 3] among [group Z3]

Impact Case Study (main sections)

Section	Expected content from 4* examples
(1) Summary of the impact: *100 wds, non-technical narrative*	• *Impact-related (not research) problem/context/goal, findings/solution & impact pathway, >2 **impacts claimed** (inc. **types, what, whom, when, where; reach & significance**), KT awards/recognition in RAE period (**1 Oct 2019 to 30 Sept 2025**)*
(2) Underpinning research: *500 wds, should indicate staff/periods/outputs*	• *For each strand: context/problem & beneficial findings **from 1 Jan 2006 to 30 Sept 2025 (who** did **what** & **when/where/why)**; clear, practical implications for **whom/where/what in society** (minimum of methods/"**how**")*

Example:

[Societal context/problem/issue & its size, scope, locality, # affected people.] Focusing on [purpose/motivation], CUHK research from 20xx to 20xx has shown [overall/main conclusion/insight/achievement], which has implications for [key groups/regions]. Specifically:
(1) Strand 1: [Researchers Y1] conducted B1 [design, setting, sample, date/s] and found C1, highlighting the importance of D1 among [stakeholders X1] [R1]
(2) Strand 2: [Researchers Y2] conducted B2 [design, setting, sample, date/s] and found C2, highlighting the need for D2 among [stakeholders X2] [R2] …

Impact Case Study (main sections)

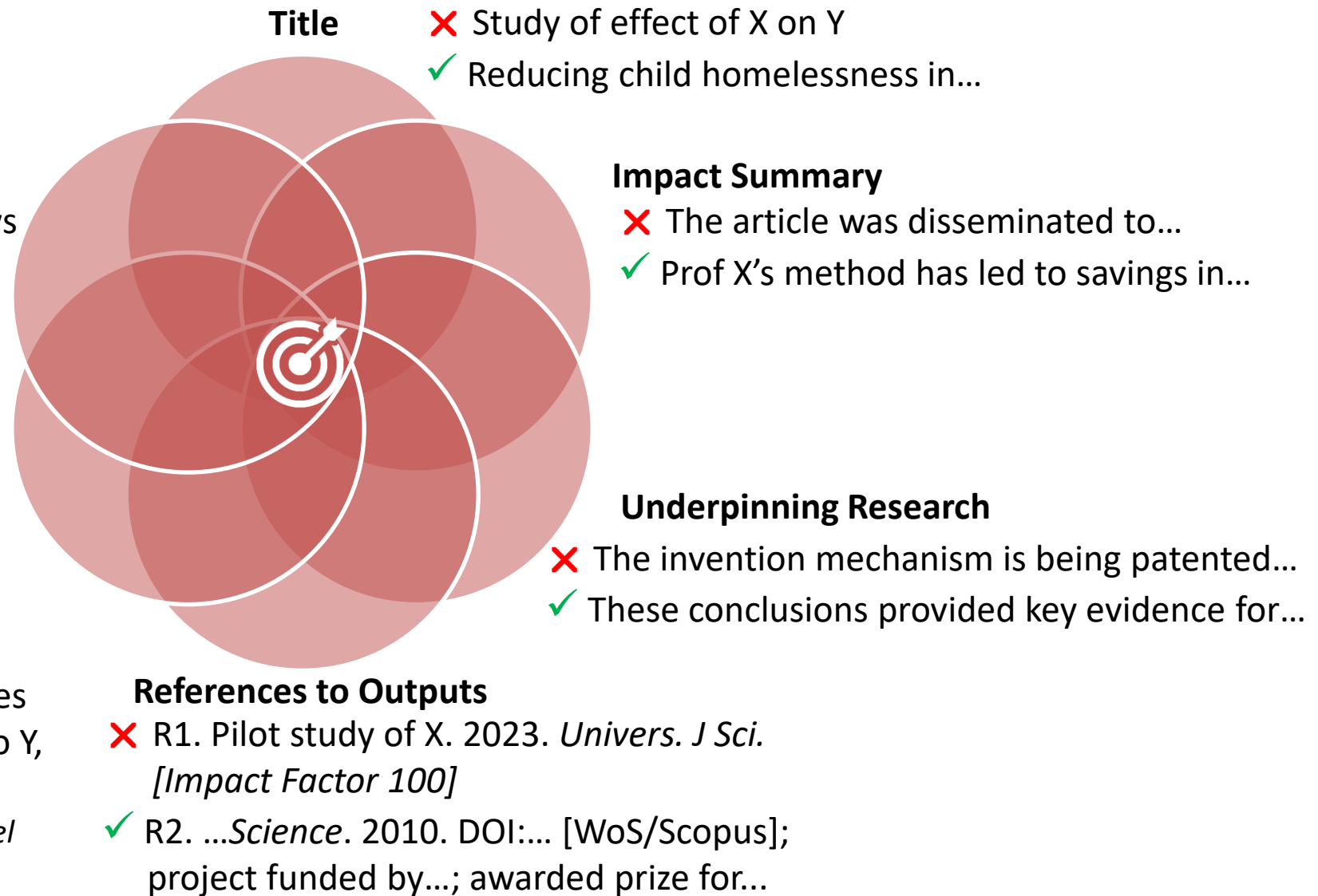| Section	Expected content from 4* examples
(1) Summary of the impact: *100 wds, non-technical narrative*	• *Impact-related (not research) problem/context/goal, findings/solution & impact pathway, >2 **impacts claimed** (inc. **types, what, whom, when, where; reach & significance**), KT awards/recognition in RAE period (**1 Oct 2019 to 30 Sept 2025**)*
(2) Underpinning research: *500 wds, should indicate staff/periods/outputs*	• *For each strand: context/problem & beneficial findings **from 1 Jan 2006 to 30 Sept 2025 (who** did **what** & **when/where/why);** clear, practical implications for **whom/where/what in society** (minimum of methods/"**how**")*
(4) References to the research: *6 x 2* research (outputs, patents)*	• *Relevant outputs for UoA; **comment on evidence of output quality** of specific work or body of work of at least 2* quality* • *Can add extra list of peer-reviewed research grants/prizes or quotes*
(5) Details of the impact: *750 wds, inc. pathway of how research led to impact, evidence of significance & reach*	• *For each impact in RAE period (**1 Oct 2019 to 30 Sept 2025**), eg, by chronology/ achievement/sector/region: Give narrative of problem, pathway & impact* • ***Documented evidence** of significance/reach; clear **causality** between research (& UoA) & multiple (sequential) impacts; awards; sustainability & wider implications*
(6) Sources to corroborate the impact: *10 eg (web-linked) audits, testimonials, impact grants & awards*	• *Separate sources of quotes/citations/data from **non-academic** reports, interviews, letters, audits, documents, websites, policies to support causality (pathway/event & impact); may group set of related media/emails/comments* • ***(Independent) impact-evaluation** research*

Case narrative

Title
- ❌ Study of effect of X on Y
- ✓ Reducing child homelessness in…

Corroborations
- ❌ Attendee number, event poster, news mention only
- ✓ Cites in implemented policies, guidelines, school curricula, industry reports; named quotes, official statistics

Impact Summary
- ❌ The article was disseminated to…
- ✓ Prof X's method has led to savings in…

Impact Details
- ❌ This work may have multitudinous potential implications for…; Dr X is a chief editor for…
- ✓ Our technology is used in 50 countries to triple efficiency in X… According to Y, "[quotation]"…

Eg, Sequentially increasing impacts or parallel impacts, with stakeholder evidence

Underpinning Research
- ❌ The invention mechanism is being patented…
- ✓ These conclusions provided key evidence for…

References to Outputs
- ❌ R1. Pilot study of X. 2023. *Univers. J Sci.* *[Impact Factor 100]*
- ✓ R2. …*Science*. 2010. DOI:… [WoS/Scopus]; project funded by…; awarded prize for...

4* Impact Case Studies

✓ (green checkmark)   ✗ (red X)

✓ **Focused on CONTENT & IMPACT:** Specific, high-magnitude and well-evidenced articulations of significance and reach

✓ **Clearly linked underpinning research** to claimed impacts (attribution/contribution), as **cause and effect** ("improved", "increased", "led to")

✓ More likely to give **high-quality corroborating evidence** for both pathway and impact; presented use of research findings

✓ **Global reach** (stated countries), or narrow but important reach; government policy plus implementation

✓ **2.8 impact types**, esp. health, well-being, policy, understanding/awareness

✓ **Easy** to understand; well written and signposted

✗ **Focused on PROCESS:** Only pathway to impact, without citing the benefits arising from dissemination or engagement

✗ **Did not clearly link underpinning research** to claimed impacts, or overclaimed link/attribution

✗ More likely to give **low-quality, vague, poorly linked corroborating evidence** (esp. for pathway); presented research process

✗ **Vague reach** ("international", "worldwide", "a number of"); vague impact ("practice and policy", "an" impact on)

✗ **1.8 impact types**, esp. capacity building (future/predicted impact)

✗ **Not easy** to understand; academic style

Research environment

- *UoA research and impact strategy(ies); research integrity, research ethics and research culture; support for research staff and students; research income, infrastructure and facilities; research collaborations, esteem and wider contributions to the discipline or research base, etc.*

- *According to the Royal Society (https://royalsociety.org/topics-policy/projects/researchculture/),*

  - *"research culture" encompasses the behaviours, values, expectations, attitudes and norms of our research communities.*

  - *It influences the career paths of academic staff and determines the way that research is conducted and communicated.*

  - *Research culture may include, but is not limited to, open access and open data policies, approach to contributing to the Sustainable Development Goals, equality and diversity, research ethics and integrity.*

https://www.ugc.edu.hk/doc/eng/ugc/rae/2026/draft_gn_oct23.pdf

RAE 2026 research environment assessment

- *"**Vitality**" refers to the extent to which a unit supports a thriving and inclusive research culture for all staff and research students, that is based on a clearly articulated strategy for research and enabling its impact, is engaged with the local and international research and user communities and is able to attract excellent postgraduate and postdoctoral researchers*

- *"**Sustainability**" refers to the extent to which the research environment ensures the future health, diversity, well-being and wider contribution of the unit and the discipline(s), including investment in people and in infrastructure.*

4*	An environment that is conducive to producing research of **world-leading quality,** in terms of its vitality and sustainability.
3*	An environment that is conducive to producing research of **internationally excellent quality**, in terms of its vitality and sustainability.
2*	An environment that is conducive to producing research of **internationally recognised quality**, in terms of its vitality and sustainability.
1*	An environment that is conducive to producing research of **limited quality**, in terms of its vitality and sustainability.
u/c	An environment that is not conducive to producing research of 1 star quality; or nil submission.

UoA Environment Overview Statement

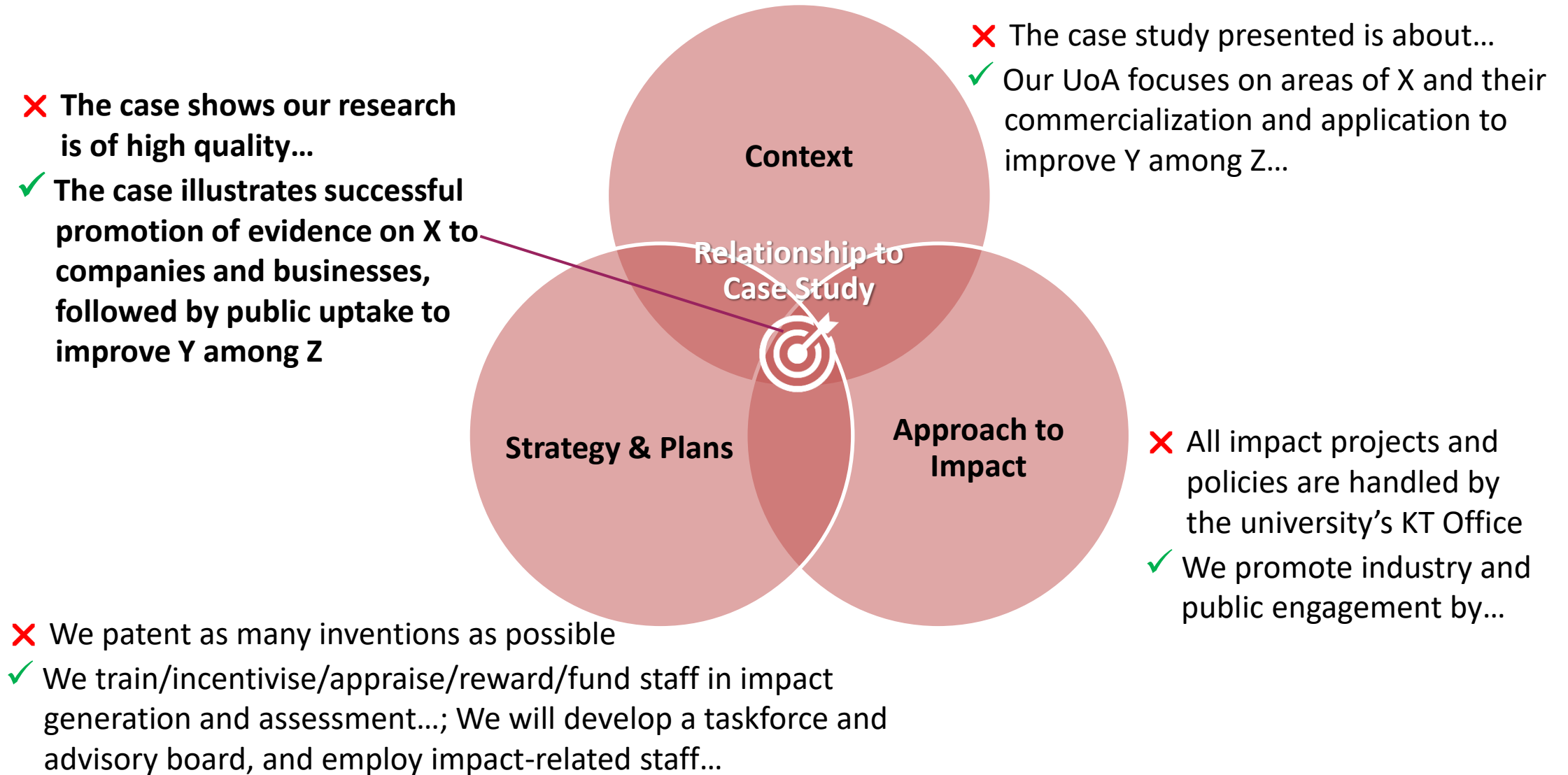| Section	4* vitality & sustainability
(1) Context & structure: brief overview describing the organisation and structure of the submitting unit, so as to provide a context for the submission	• ***Mission/Vision*** • ***Topic themes; Organisation/depts/hubs*** • *Summary of performance; subject rank/reputation*
(2) Research & impact strategy: evidence of achievement of strategic aims during assessment period, as well as details of future strategic plans and how the unit's strategy articulates with the university's overall strategy	• ***Research Culture/Values; Link to University policies*** • ***Achievement of aims*** *inc. from RAE 2020 (eg, grants, awards, KT, **impact**/link to case study)* • *Future goals for research & impact*
(3) Research integrity & ethics	• *Highlights of success & challenge*
(4) People, covering (i) staff and (ii) research postgraduate students: unit's strategy on staffing and staff development/training, as well as support and training/supervision of research students	• *Summary of all research staff; New recruits, **training/retention, early-career researcher support;** Student #s & recruitment; **Diversity, mentoring culture**, appraisal; RPg curricula; PhDs awarded*
(5) Income e.g. grants received, infrastructure & facilities: research income and grants, including funds from the university central allocation and external funding bodies, (non-)competitive grants, donations	• *Summary of sources & **amounts/types (esp. collaborative)**, showing diversity/ranking; Licences, IP income, fundraising* • *Space, equipment, linked to areas/hubs: $ value, variety, staffing, functions, global benchmark*

UoA Environment Overview Statement (cont…)

Section	4* vitality & sustainability
(6) Collaborations: including local or international research collaborations, with individual academics, industry and other institutions. Collaborative arrangements, partnerships, networks and joint research projects, intra-university or inter-disciplinary research collaborations may be included	• Name **examples by sector/region**, *linked to stated mission, philosophy (inc.* **KT** *with stakeholders influencing novel/relevant research & impact strategies)* • Show **diversity, effectiveness, leadership**, *examples of special initiatives/events*
(7) Esteem: recognition conferred by a body outside the university. It should demonstrate the distinguished achievement of individual researchers, groups or the unit as a whole. Esteem may include, but is not limited to research-based awards, honours, or prizes	• **Details of rankings**, *fellowships, awards, by department/area* • *Explain significance, scope/scale, influence on & prestige in field*
(8) Contribution to the discipline or research base	• **Editorships**, *peer review, invited lectures, academic & conference committees* • *Vision*

No. of pages depends on size of UoA (6p for 3–15; 8p for 16–30; 10p for 31–45; 13p for 46+)
(increased from 4p, 6p, 8p, 10p in RAE 2020)
https://www.ugc.edu.hk/doc/eng/ugc/rae/2026/draft_gn_oct23.pdf

Proof of successful impact strategy

✗ The case shows our research is of high quality…

✓ The case illustrates successful promotion of evidence on X to companies and businesses, followed by public uptake to improve Y among Z

✗ The case study presented is about…

✓ Our UoA focuses on areas of X and their commercialization and application to improve Y among Z…

Context

Relationship to Case Study

Strategy & Plans

Approach to Impact

✗ All impact projects and policies are handled by the university's KT Office

✓ We promote industry and public engagement by…

✗ We patent as many inventions as possible

✓ We train/incentivise/appraise/reward/fund staff in impact generation and assessment…; We will develop a taskforce and advisory board, and employ impact-related staff…

Embedding impact in the research cycle

Collecting Research Impact Evidence Best Practice Guidance for the Research Community
(HEFCE, Vertigo Ventures, Digital Science)

https://www.gla.ac.uk/media/Media_592063_smxx.pdf

Admin checklist

Are the UGC's format requirements fulfilled?

❑ Correct number of A4 size pages

❑ 12 point size in Times New Roman

❑ Single-line spacing

❑ 2 cm margin all around

Are basic components present and correct/eligible?

❑ Are all sections filled in?

❑ No need for data sheet for Mock RAE; OK to cite estimates or expected (summary) data as evidence

Review checklist

1. **Comment on "Vitality" of research environment and presented evidence**
   - ❑ Thriving & inclusive research culture for all staff & research students [Sections 1-4]
   - ❑ Strategy for research and enabling impact [Sections 1-3]
   - ❑ Engagement with local/international research & user communities [Sections 6-8]
   - ❑ Attracts excellent postgraduate & postdoctoral researchers [Section 4]
2. **Comment on "Sustainability" of research environment and presented evidence**
   - ❑ Future health, diversity, well-being [Sections 2-6]
   - ❑ Wider contribution of unit & discipline/s [Section 8]
   - ❑ Investment in people & infrastructure [Sections 4-5]
3. **Other comments eg, specific sections:**
   Context, Strategy, Integrity/ethics, People, Income, Collaborations, Esteem, Contribution, or overall language quality and writing style
   - ❑ Do context & strategy relate to University?
   - ❑ Relevant benchmarks; have plans from RAE 2020 been fulfilled?
   - ❑ Are meaningful, realistic goals set for RAE 2032?
   - ❑ Are there indicators of vitality and sustainability in relevant sections?
   - ❑ Do (summary) data illustrate the strategy and support the narrative?

UoA Environment Overview

Statement

1. UoA context and structure
2. Research and impact strategy
3. Research integrity and research ethics
4. People
5. Income, infrastructure and facilities
6. Collaborations
7. Esteem
8. Contribution to the discipline or research base

CUHK RAE & impact support

Faculty Directors of Impact

August 2023

Initial Funding for impact cases, Round 1	Strategic Impact Enhancement Fund (SIEF), Round 1	Outstanding Research Impact Award 2023	**Mock RAE fund for training/ consulting for impact cases**	Initial Funding for impact cases, Round 2	Strategic Impact Enhancement Fund (SIEF), Round 2	Outstanding Research Impact Award 2024
Nov 2022	June 2023	July 2023	October 2023	Nov 2023	2024	2024

Identify & nurture cases

(KT staff, engagement, research mobilisation, activate impact pathway/s, partnerships, develop KPF/SKPF/tech transfer…)

Develop 4* cases (Increase reach/significance; impact evidence & evaluation for mature cases)

- **RAE impact assessment, case refinement & selection**
  - Data collection on active/passive performance; [in]direct, [un]intended impacts
  - Evaluation research (eg, social science, business, public policy & health audits), during or after impacts
  - Stakeholder analysis, interviews & feedback; testimonials
  - Non-academic citation analysis (altmetrics, media/policy tracking)
  - Evidence synthesis & analysis; triangulation & referencing/benchmarking
  - Establish causal links, map impact mechanisms & pathway/s, develop case narrative

Develop coherent impact strategy, strengths, culture, history, reputation

Thank you

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