

# THE CHINESE UNIVERSITY OF HONG KONG

## Research Committee

### General Guidelines on Preparation of Impact Case Studies for the next RAE

#### Introduction

On the assumption that the 6-year interval for the UGC RAE cycle remains, the next RAE will take place in 2026 with submission due dates in late 2025. To ensure that Faculties are supported in the RAE preparation, an initial funding \$25.2 million has been sought from the Resource Allocation Committee for allocation to Faculties for the purpose of strengthening impact case studies for the next RAE.

2. In the RAE 2020, the University submitted 67 impact case studies in total. For the next RAE, it is uncertain at this stage how the scales of staff in UoAs will determine the number of case studies required for submission. To deal with any possible changes to determinant factors that affect the number of submissions by UoAs in different sizes, it is desirable to prepare more cases during the lead time. As such, an increase of 25% to the actual number of submissions for the RAE 2020 is suggested, i.e.  $67 \text{ cases} \times 125\% = \underline{84 \text{ cases}}$ .

#### Allocation of Funding

3. Based on the number of impact cases submitted for the RAE 2020, plus the suggested 25% increase, the required number of cases to be prepared by and the funding allocation to individual Faculties are provided below:

Faculty	<b>RAE 2020</b> No. of submissions ( <i>N</i> )	<b>RAE 2026</b> No. of cases to be prepared ( <i>N</i> x 125%)	<b>Allocation of Funding</b>
Arts	13	16.25	\$ 4,889,552
Business Administration	6	7.5	\$ 2,256,716
Education	4	5	\$ 1,504,478
Engineering	8	10	\$ 3,008,955
Law	2	2.5	\$ 752,239
Medicine	13	16.25	\$ 4,889,552
Science	10	12.5	\$ 3,761,194
Social Science	11	13.75	\$ 4,137,314
<b>Total:</b>	<b>67</b>	<b>83.75</b>	<b>\$25,200,000</b>

4. Faculties can round up or down the above-listed number of cases required to the nearest integer or identify even more impact cases at this preparatory stage. To facilitate the review and enhancement process, the impact case template of the RAE 2020 should be used in preparing individual cases studies.

#### Scope of support

5. The funding allocated under this initiative must be used exclusively to support project-based activities directly related to the enhancement of demonstrable impacts for RAE submission. The activities may include:

- collection of evidence, e.g. through surveys, interviews, websites, exhibits and public forums to engage specific target non-academic research users;
- provision of training and expertise to benefit practitioners in the field;
- strategic engagement with industry for conducting trials and/or practical application of research deliverables;
- research assistants to support impact activities; and/or
- equipment and consumables are allowable only if these are essential part in creating impact.

6. The list of activities shown above is by no means exhaustive. Any strategic initiatives with clear and realistic aims for accelerating actual impact of individual case studies for RAE submission may be considered. All deployment of funding under this initiative shall be conducted in full compliance with applicable policies, regulations and procedures of the University.

7. The fund is not intended to cover costs of salary/teaching relief of individual project PIs, blue sky research projects, academic research outputs, patent filing, projects/activities already funded by other internal/external sources, nor external consultancy. If Faculties deem it necessary, they could use their own fund sources to engage external reviewers at this stage.

#### Faculty's role

8. Faculties are entrusted with responsibilities of identifying enough number of cases studies for preparation, making sub-allocation of the funding to individual impact cases, providing mentoring support in impact case development, and monitoring the progress of the cases towards completion for the RAE submission. Faculties have discretion to establish their own mechanism and enabling strategies to select impact cases for funding support.

9. It is also strongly recommended that each Faculty should form its own Faculty RAE panel to oversee and coordinate the whole process of RAE preparation, not just for development of impact cases. While the upcoming RAE may have rules to be somewhat different, the assessment

elements of the RAE 2020, namely research outputs, impact, and environment, will basically frame our preparation at Faculty and institutional levels.

### Reporting

10. An RAE Panel at the University level will be formed to support the RAE preparation. During the lead time, the University RAE panel will work closely with the Faculty RAE Panels and invite reports from Faculties on progress of the preparation and submissions of individual impact cases in due course.

June 2022

**List of Impact Case Studies identified by Faculty**

(A) Faculty of

(B) Faculty RAE panel<sup>(a)</sup>:

Name	Department	Capacity (Chairperson/Member)

(C) No. of Case Studies required for internal preparation:  (i.e. no. of cases submitted for RAE 2020 X 1.25%)

(D) List of Case Studies identified<sup>(a)</sup>:

No.	Title of Case Study	Department	Proposed Unit of Assessment	Academic lead's name	Current status & action plan for enhancement <sup>(b)</sup>
1					
2					
3					
4					
5					
6					
7					
8					
9					
10					

**Note**

(a) Please insert or delete lines in the above table(s) as appropriate.

(b) For each case, please provide a brief summary of its current status and action plan for enhancement up to the RAE submission

Date: