



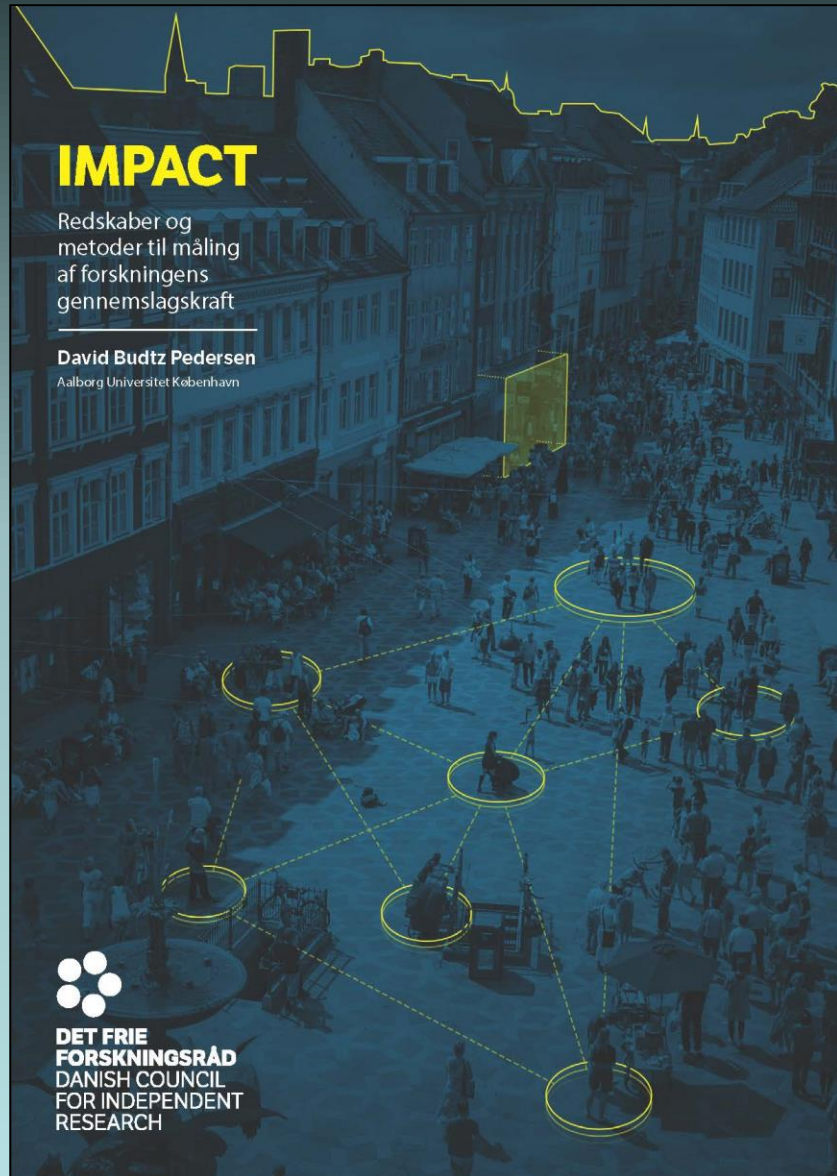
# Frameworks for the understanding and evaluation of the societal impact of research in the humanities

*Gunnar Sivertsen*

Nordic Institute for Studies in Innovation, Research and Education, Oslo, Norway

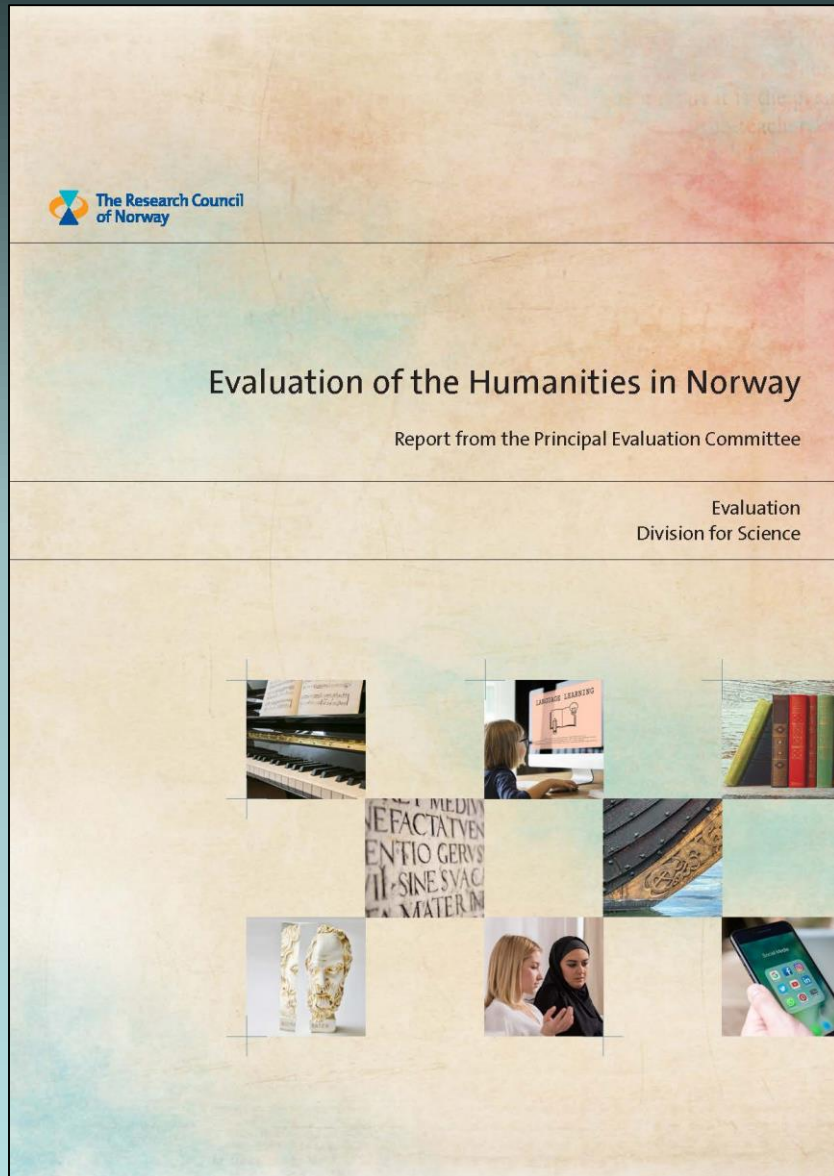
**NIFU**

# Frameworks for the understanding and evaluation of the societal impact of research: Examples



- Research Excellence Framework (UK, 2014)
- SIAMPI (Netherlands, 2009-2011)
- IMPACT-EV (European Commission, 2014-2017)
- STAR METRICS (US National Science Foundation, 2010-2015)
- ERC Impact Framework (European Research Council)

# The REF 2014 (UK) inspired the methodology in a Norwegian evaluation of the humanities in 2016-17: 169 impact cases



- Research Excellence Framework (UK, 2014)
- SIAMPI (Netherlands, 2009-2011)
- IMPACT-EV (European Commission, 2014-2017)
- STAR METRICS (US National Science Foundation, 2010-2015)
- ERC Impact Framework (European Research Council)

# Outline

- A typology of societal impact in the humanities
- Limitations of the impact case methodology
- Understanding and evaluating normal impact

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## Method (type of taxonomy)

- A classification of each of the 169 cases with regard to the **societal domain or sector** with which there was an interaction



**Årets beste bøker.** Aftenpostens bokanmeldere har sett tilbake på året som er gått, og velger blant de beste bøkene de selv har anmeldt i 2015.

## Anmeldernes favoritter

Litteraturansvarlig: Rune Hallheim  
Illustrasjon: Ane Hem

**Mine favoritter.**  
Ingunn Økland

**Vennskapets pris**

**OM KØSTEN**  
KAROLINE HENNINGSEN

**Kjell Askildsen**

*Vennskapets pris, oktober forlag*

Kjell Askildsen gjør et nydelig og rått comeback med denne lille novellesamlingen, hans første på nærmere 20 år. På sitt beste lever boken opp til Askildsens egen høye standard. Den utfyller forfatterskapet og gir nye nyanser til helt sentrale motiver. Interessant nok gjør forfatteren også et lite rykk i retning av det dramatiske. Råmaterialet- og råskapen kommer tydeligere frem når perfektionisten blir mindre aktiv. Askildsen er kanskje skrupelig og gammel, men kvalitetsansen har han beholdt.

**Helle Helle**

*Hvis du vil, Gyldendal*

Den danske forfatteren Helle Helle kan skape ømhet for menneskene helt uten å stakarsliggjøre dem. *Hvis du vil* er blant hennes beste bøker, en poetisk kortroman som skildrer et magisk møte mellom to joggere som har gått seg vill i skogen og mistet mobildekningen. Helle vekker leserens undring, men vokter seg vel for å la brikkene falle på plass.

**Mine favoritter**  
Kjetil Røed

**Arne Johan Vetlesen**  
*The Denial of Nature*  
Taylor & Francis

For å løse klimakrisen bør vi behandle naturen som et levende vesen, mener filosofen Arne Johan Vetlesen. Boken er selvsynlig en ydmykhet, siden Vetlesen tillater seg å være mer personlig og engasjert enn hva vi er vant med fra filosofiens hold. Han forteller, blant annet, at han utveksler blikk med en rovfugl. En bok med svært mange tankevekkende perspektiver.

**Roberto Bolaño**

2666

Cappelen Damm, Oversatt av Kristina Solum

2666 er et gåtefullt mesterverk og en litterær triumf. Jeg har knapt lest en roman som til de grader evner å forene lesbarhet og ulidelig spenning med enorme intellektuelle ambisjoner. Uansett hva som måtte komme på norsk av oversatt skjønnlitteratur i år, kan jeg vanskelig forestille meg at noe kan toppes 2666. I det hele tatt vil jeg ikke forundres om Bolaños bok blir stående som en av de aller viktigste i verdenslitteraturen de siste 30 årene.

Mark C. Taylor

**TERJE DRAGSETH**  
*JEG SKRIVER SPRÅKET*  
ET DIKT

**Mine favoritter**  
Henning Howlid Waerp

**ROMANER**  
**DIKT**  
**AV**  
**BÅRD**  
**TORGENSEN**

**Terje Dragseth:**

*Jeg skriver språket. Et dikt.*

Cappelen Damm

De mange referansene man oppdager i boken bringer ikke tankene i retning av selvstendighet eller plagiat, men blir tvert imot en påminning om at Terje Dragseth som poet har usedvanlig godt gehør! Langdiktet blir aldri kjedelig å lese, en skulle heller ønske at det ikke tok slutt. Så det eneste jeg kan innvende er at diktet faktisk avrundes og konkluderes på siste side. Det burde heller ha stoppet midt inne i noe.

**Inger Elisabeth Hansen:**

*Å resirkulere lengselen, avrenning foregår*  
Aschehoug

I diktene går vi på kryss og tvers på kloden og i historien, og passende nok gjengir bokomslaget et forseggjort gammelt verdenskart. Alle dikt er ikke like gode. Og årets samling er ikke like gjennomført som hennes prisvinnende bok *Trask fra 2003*. Men det er mer enn nok av gode dikt her til at boken blir en av årets mest interessante.

**Bård Torgersen:**

*Romaner*

## Cultural sector: Performances





# Educational sector: Research-based teaching aids

[Nyhetsbrev](#)[Kurskalender](#)[Vurderingseksemplar](#)[Trykte læremidler](#)[Digitale læreverktøy](#)[Salto vant gull!](#)[Til hjemmesiden](#)[Kontakt oss](#)

"Jeg har jobbet på 1. trinn i 14 år. Salto er det beste verket jeg har arbeidet med. Jeg opplever at elever leser og skriver mye tidligere".

*Mai-Britt Moe, Munkerud skole*

[Salto vant gull!](#)[Lesing og skriving fra første stund](#)[Salto Smart Vurdering](#)

## Trykte læremidler

- 1. trinn
- 2. trinn
- 3. trinn
- 4. trinn

## Om læreverket Salto

Læreverket Salto utvikles av Gyldendal Undervisning.  
Copyright (c) 2013

[Om forfatterne](#)  
[Kontakt oss](#)

# Media, software and internet:

## Grammar control (Norwegian language) for Microsoft Office

### SLIK RETTES GRAMMATIKKEN

Vi har kjørt noen prøvesetninger med feil gjennom grammatikk-kontrollen for å vise hvordan den fungerer. Feil markeres med grønt. For å forklare deg hvorfor du har gjort feil, gir maskinen deg automatisk regelen du har brutt. Forstår du ikke den korte forklaringen, kan du velge en lengre utgave.

#### TEKST:

Gutten spiste den eplet.

#### MASKINEN SVARER:

Kontroller ordformen «den». Hvis en artikkel eller et pronomen, her «den» står til et substantiv i intetkjønn, her eplet, bør også artikkelen eller pronomenet bøyes i intetkjønn. (Her har språkforskerne glemt et komma etter «den»!)

#### TEKST:

Jeg liker meg fordi det er ikke kjedelig her.

#### MASKINEN SVARER:

Kontroller plasseringen av adverbet ikke. I leddsetninger bør slike setningsadverbial stå foran det finite verbet, her er. Maskinen foreslår å bytte ut «er ikke» med «ikke er».

#### TEKST:

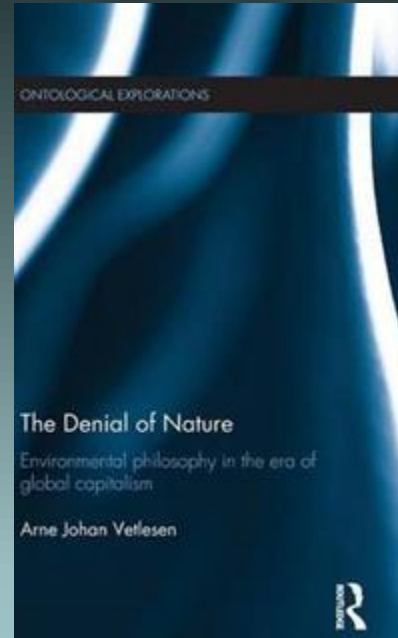
Jeg spiser å sover.

#### MASKINEN SVARER:

Kontroller ordene å sover. Infinitivsmerke «å» brukes bare foran verb i infinitiv. Maskinen foreslår at du bruker «og».

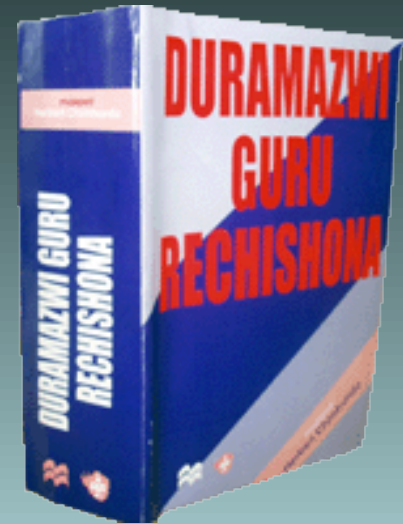


# Public space: Ethical considerations in societal dilemmas and in working life



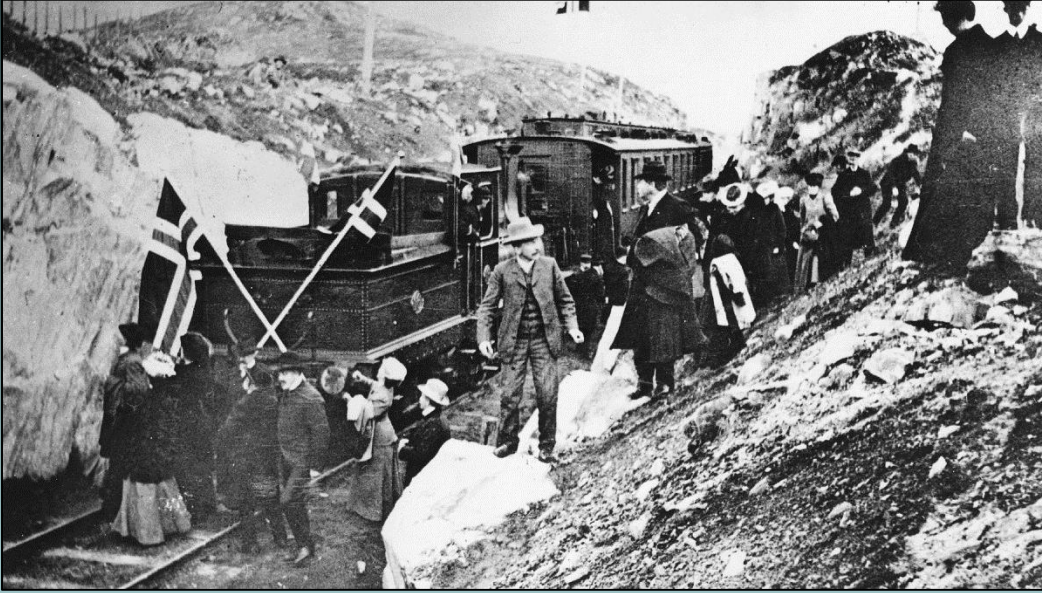


# Foreign relations: Understanding other languages and cultures





## **Tourism:** Knowing cultural history



# The memory of society



# Typical areas of societal impact of the humanities

- The cultural sector
- The educational sector
- Media, software and the internet
- Public space
- Foreign relations
- Tourism
- The memory of society

# Outline

- A typology of societal impact in the humanities
- Limitations of the impact case methodology
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# The impact evaluation methodology of the REF

The image displays the REF2014 Research Excellence Framework website interface and a Word document template for REF3a impact submissions.

**REF2014 Research Excellence Framework**

Publications | **Submissions** | Expert panels | Research users | Equality & diversity

[Home](#) » Submissions

## Submissions

The deadline for submissions to the REF from UK higher education institutions is 15 June 2013.

This page provides details of the guidance and procedures for submitting research outputs to the REF.

### Submissions system

Institutions were required to make submissions to the REF using the online submission system. The submission system will be available in a [read-only](#) mode from 15 June 2013.

### Key guidance documents

- [Assessment framework and guidance on submissions](#) – provides the assessment framework and guidance to institutions on requirements and definitions that apply in the submission system.
- [Panel criteria and working methods](#) – provides further guidance on the information requirements for each panel.
- [Supplementary guidance](#) – provides further guidance on the information requirements for each panel.
- [Frequently asked questions](#) (FAQ) – provides answers to common questions about the submission system.

The following supplementary guidance documents are available:

- [Submission system data requirements](#) – provides the data requirements for the submission system.
- [Submitting research outputs](#) – provides the guidance on submitting research outputs.

**Impact template (REF3a)**

1. This annex provides the template for REF3a. The template for use in preparing submissions will be provided in Word, along with templates for REF3b and REF5, on the REF submission system.

2. Guidance on completing the template is available in Part 3, Section 3 of 'guidance on submissions', and in Section 3 of each of the main panel criteria statements (Part 2 of this document). Each of the main panel criteria statements set out the information requested under each heading (a-d) of the impact template.

3. Each completed template must be submitted according to the guidance on page limits set out at Annex F of 'guidance on submissions'.

**Impact template (REF3a)**

Institution: \_\_\_\_\_

Unit of assessment: \_\_\_\_\_

b. Approach to impact

c. Strategy and plans

d. Relationship to case studies

# REF definition impact

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

Underpinning research must be “excellent” (2\* quality or above)

**REF2014**  
Research Excellence Framework

[Publications](#) [Submissions](#) [Expert panels](#) [Research users](#) [Equality & diversity](#) [Background](#) [Timetable](#) [FAQs](#) [Contact](#)

[Home](#) » [Submissions](#)

Submission system

## Submissions

Submission system  
data requirements

The deadline for submissions to the REF from UK higher education institutions passed on 29 November 2013.

Submitting research  
outputs

This page provides details of the guidance and procedures for making submissions.

Citation data

## Submissions system

REF4 Environment  
data

Institutions were required to make submissions through an online system by midday on 29 November 2013. The online submission system will be available in a [read-only](#) state.

Data management

## Key guidance documents

Audit and data  
verification

[Assessment framework and guidance on submissions](#) (REF 02.2011) provides an overview of the framework and guidance to institutions on preparing their submissions. It includes guidance on requirements and definitions that apply in making submissions.

[Panel criteria and working methods](#) (REF 01.2012) sets out how the REF panels will use the guidance. It provides further guidance on the information required in textual parts of submissions.

## Supplementary guidance

[Frequently asked questions](#) (FAQs) about the REF are available.

The following supplementary guidance about submission procedures is available:

- [Submission system data requirements](#): sets out the data requirements for the submission system, and lists the data requirements for different types of research outputs.

### Impact template (REF3a)

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### Impact template (REF3a)

Institution:

Unit of assessment:

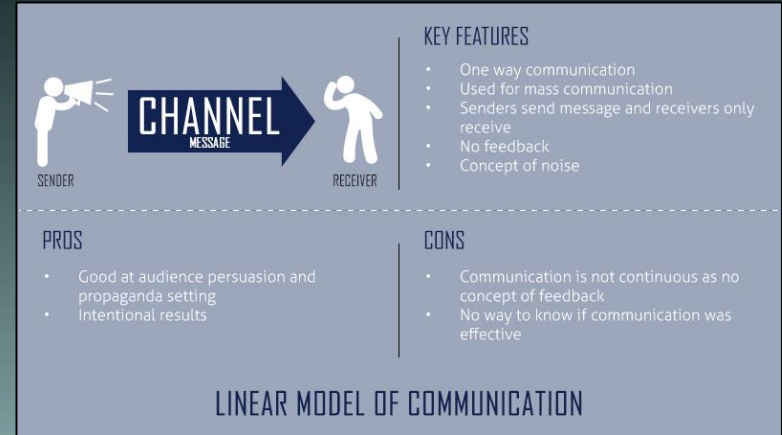
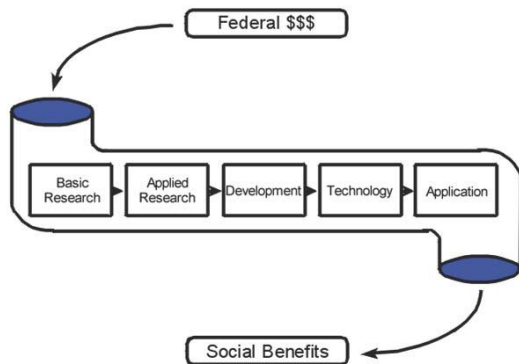
a. Context

b. Approach to impact

c. Strategy and plans

d. Relationship to case studies

# The linear models of innovation and communication



Asking for narratives about:

- The research that **underpinned the impact**: "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,"
- **The resulting impact**: "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)."

Impact template (Part 3a)

template for REF3a. The template for use in preparing  
d, along with templates for REF3b and REF5, on the REF  
plate is available in Part 3, Section 3 of 'guidance on  
of the main panel criteria statements (Part 2 of this  
via statements set out the information requested under  
mitted according to the guidance on formatting and  
n submissions'.

## Challenges with the linear model for impact evaluation

Ilkka Turunen (2013), based on OECD (2008)

- **Causality:** the relationships between research and innovation inputs, activities, outputs, and impacts are often unclear or nonlinear.
- **Attribution:** it is difficult or even impossible to separate the impact of research and innovation from other inputs and activities.
- **Internationality:** the impacts of research and innovation are international by nature – activities and value chains are global, and both positive and negative spillovers exist.
- **Time scale:** the impacts are realized both in the short and long-term.
- Breakdown of impacts to a particular socio-economic target: **how to define** e.g. impact on public welfare or culture.
- **Data issues:** data on many issues related to science are unobservable or are not systematically collected; fundamental uncertainty around the concepts.



# **Focused on only one side of the interaction**

**(because the method is used for institutional funding)**

## Why does impact matter?

- **Accountability**
  - spending public money means demonstrating the benefits of that investment to society
- **Quality**
  - research can be improved by engagement with a broad range of potential beneficiaries
- **Maximising benefits**
  - shortening the time to benefits, and increasing the impact we know our investments have
- **Reputation**
  - enhance UK attractiveness for research and innovation investment

## **A case of interaction and collaboration, about responding to needs**

Syrian-Norwegian collaboration on documenting Palmyra (UNESCO world heritage) since 2008



Jørgen Christian Meyer, professor of archaeology, University of Bergen

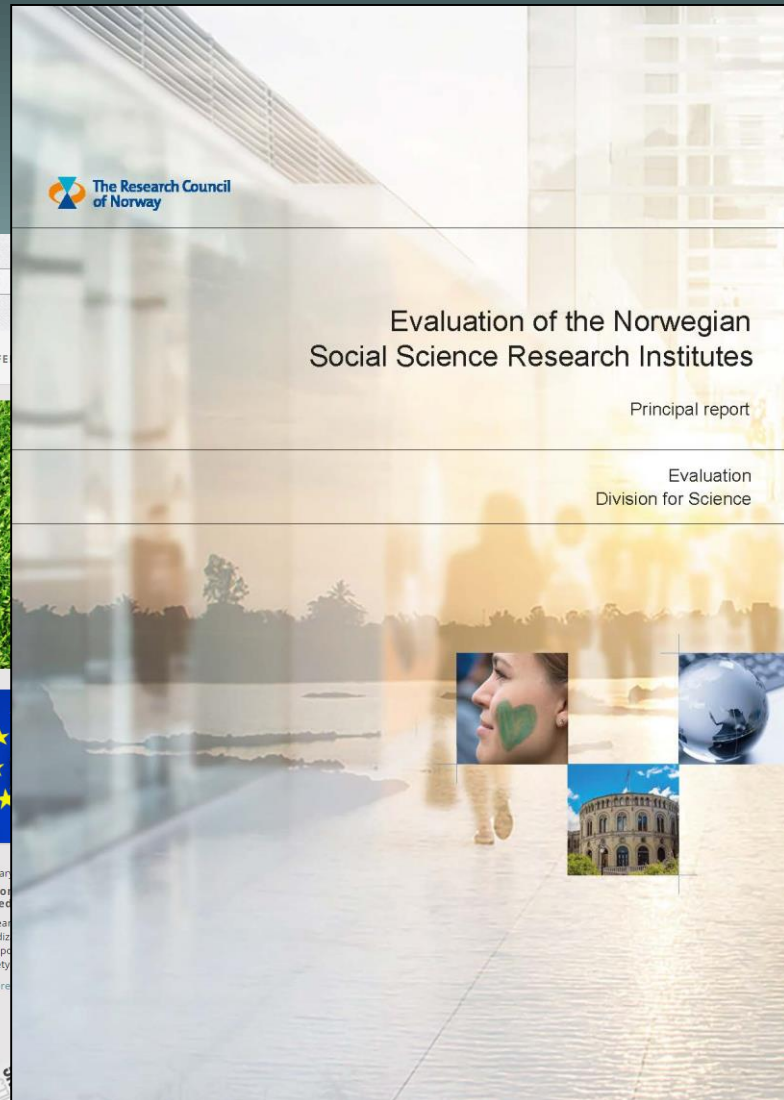
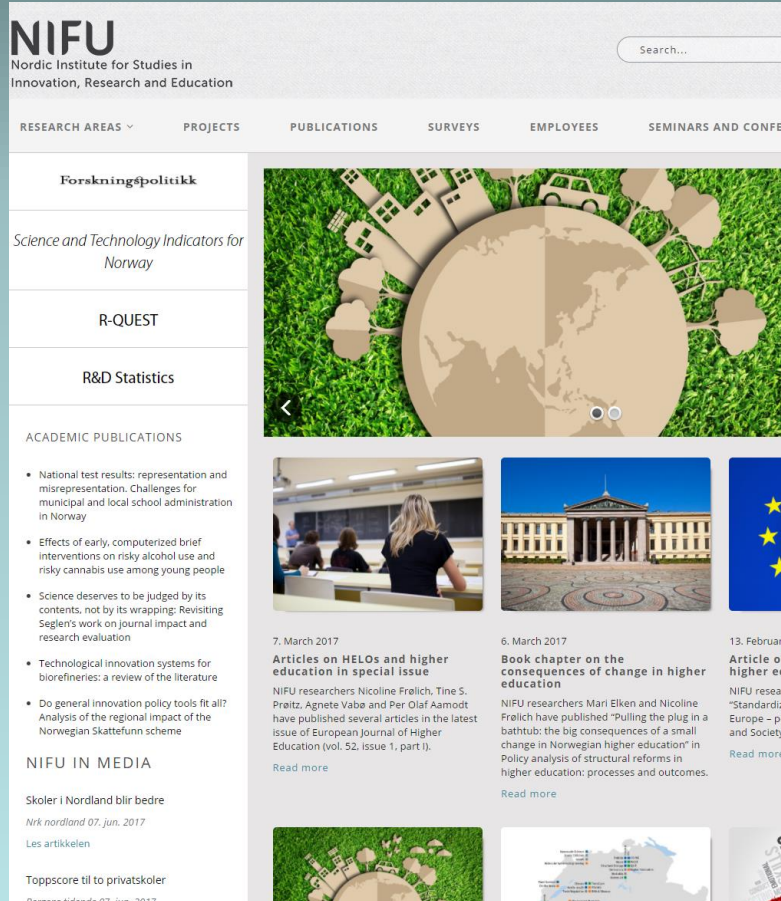


Khaled Mohamad al-Asaad, director of Palmyra archaeological site



# My own organization, NIFU, was recently evaluated, using the same methodology

I wrote an impact case of interaction and collaboration, about responding to needs






# Presenting the results of the Norwegian research evaluation exercise: Normal contributions are not part of the story

Contributes to information technology, bioethics, peace processes

Contributes to emergency communication, genetic counselling, ethical regulations

Contributes to health care, engineering sciences, climatic research and energy

 **Forskingsrådet**

Søk i alt innhold

SØK OM MIDLERARRANGEMENTERNYHETERPOLITIKK OG STRATEGIINTERNASJONALTNÆRINGSLIVOM FORSKNINGSRÅDET

Her er du: Forsiden > Nyheter

NYHETER

Nyhetsbrev

Forskingsrådets filmer

## Kartlegging av samfunnsbidrag i humaniora

Forskingsrådet er i full gang med å evaluere norsk humanioraforskning. No har miljøa sendt inn dome på konkrete samfunnsbidrag, frå 22. julis kulturelle etterliv i det norske samfunnet til forskning på musikk og rørsler som grunnlag for behandling av barn med cerebral parese.

– Dome dekkjer mange felt og viser korleis humanioraforskning har påverka alt frå utvikling og utforming av informasjonsteknologi og bioetikk, til diskusjonar og opinion om atomnedrusting og bibelforståing, og fremja samfunnsinteresse og forståing for alt frå latin til moderne krigsspel, fortel seniorrådgivar Iselin Theien i Forskningsrådet.

– Forskningsrådet har etablert **åtte ekspertpanel med 54 internasjonale fagfellar** til å vurdere kvalitet og relevans for forskinga innan dei ulike humanistiske faga. Dei 169 innkomne dome vil være ein del av vurderingsgrunnlaget for evalueringa, i tillegg til anna informasjon om forskarpersonale, vitskapleg publisering og kopling mellom forskning og utdanning.

### Tverrfaglegheit og breidde i norsk humanioraforskning

– Dome våre spenner frå **risikokommunikasjon i genetisk rettleiing**, via involvering av elevar på vidaregåande skole for å **lage formidlingsstrategiar** for å nå ungdom om deira bruk og forbruk av IKT, til anvendt etikk i tett samspel med samfunnsaktørar utanfor akademia, seier dekan Anne Kristine Børresen ved Det humanistiske fakultet ved NTNU.

– Fellesnemnaren for mange av våre dome er tverrfaglegheit. Vi ser at humaniora bidreg med avgjerande kunnskap og kompetanse innanfor mellom anna medisin, teknologi, klima og energi, seier Børresen.

– Det av våre dome som utan tvil har fått mest mediemerksemd, er 22. juli-senteret. I prosjektet **July 22 and the Negotiation of Memory** dreier det seg om terrortragediens kulturelle etterliv i det norske samfunnet. Forskarane ser spesielt på måten tragedien gjennom tidsspesifikke og permanente markeringar blir presenterte og fortolka i dei offentlege romma våre.

Prosjektgruppa mottok NTNUs formidlingspris 2015 for arbeidet med 22. juli-senteret.





Kontaktpersoner


» Jon Holm

» Iselin Theien


» Anette Askedal

Del





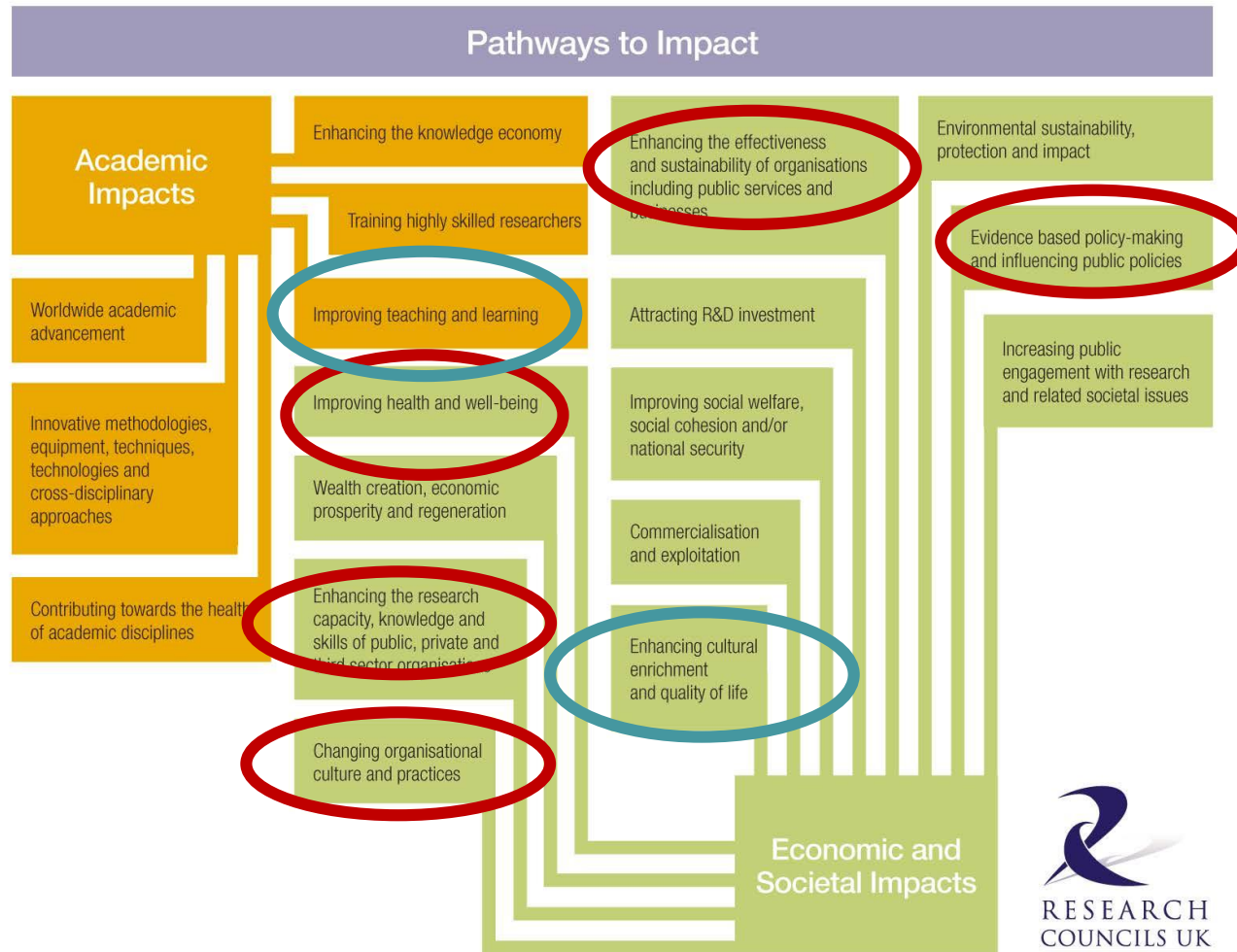
Iselin Theien (Foto: Forskningsrådet)



Anne Kristine Børresen (Foto: NTNU)



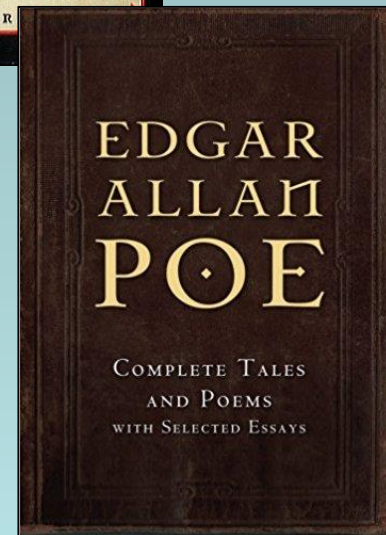
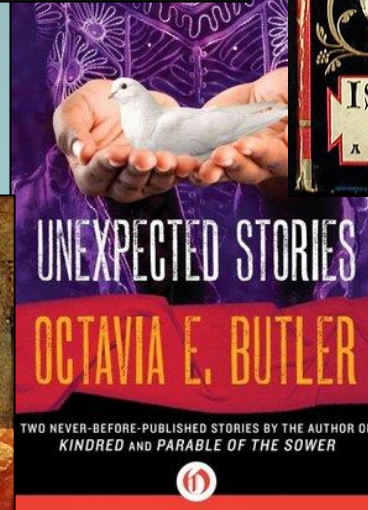
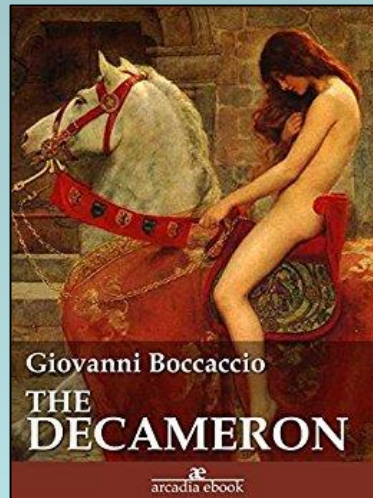
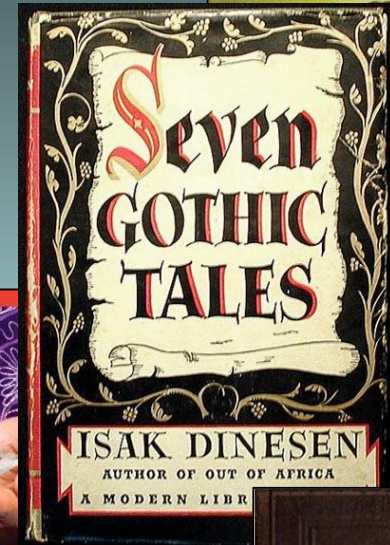
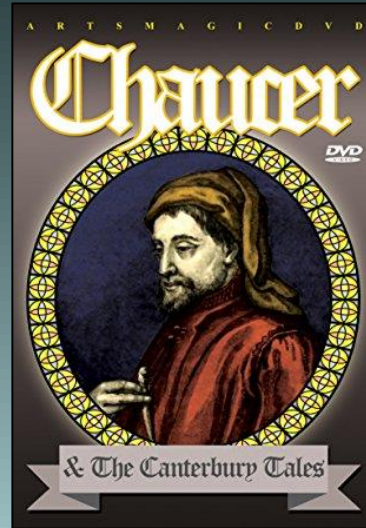
# Extraordinary versus normal impact of the humanities



# The impact case methodology and the theory of the short story

"Usually a *short story* focuses on one incident; has a single plot, a single setting, and a small number of characters; and covers a short period of time."

"A *short story* conserves characters and scenes, typically by focusing on just one conflict, and drives towards a sudden, unexpected revelation."





# Normal impact

- Is found in responsible relations between academia and other institutions of civilization
- Is about daily activities and how well they are organized, not about individual incidents of visible impact
- A medical faculty is **part of the health care system**, not only of the university



## Normal impact

Syrian-Norwegian collaboration on documenting Palmyra (UNESCO world heritage) since 2008



Jørgen Christian Meyer, professor of archaeology, University of Bergen



Khaled Mohamad al-Asaad, director of Palmyra archaeological site





## Extraordinary impact

The sudden importance of the project after the outbreak of the civil war in 2011



Returned



Beheaded by ISIS



## Extraordinary impact can also be a violation of normal impact

- Research misconduct also has societal impact
- Can be understood as an institutional responsibility in the perspective of normal impact
- Institutional level evaluation and learning is needed
- Normal impact is what needs to be secured

### Karolinska Institute scandal: systemic failures or individual errors?

Sweden's leading university pledges to learn after government intervenes in Macchiarini affair

September 18, 2016



By John Morgan

Twitter: @JMorganTHE



Source: Alamy

Hiring someone for a job is always a big decision. But the Karolinska Institute's 2010 decision to appoint as a visiting professor Paolo Macchiarini (pictured above), once a world-renowned thoracic surgeon, turned out to be really big.

Following the deaths of two of Dr Macchiarini's patients at the Karolinska University Hospital and allegations of research misconduct, a TV documentary on his work shocked the Swedish public and led the Karolinska Institute's board to commission an external inquiry into the institution's handling of his case.

After the inquiry published its highly critical findings on 6 September – saying the institute had a “nonchalant attitude towards regulations” – Sweden's higher education minister removed the



**Normal impact can be evaluated  
at both sides of the relation**

**Cultural sector: The art  
institution**



# KUNST OG KULTUR



Nr. 2 / 2013 Årg. 96

Iselin Bogen og Mari Ilvattum: *Heinrich Ernst Schirmers studiereise til England, 1843–44*  
Signe Endresen: *Time and narrative in Edvard Munch's «The Green Room» (1907)*

Tema: Museer og formidling

Ingrid Halland: *Systematikk og kulturhistorie. Jens Thiis, Hans Dedekam og debatten om en utstillingsreform*

Randi Gaustad: *«et Eventyr i norsk og hjemlig Stil» Gerhard Munthe og Kunstindustrimuseet*



# Conclusions

- A typology of societal impact in the humanities
- Limitations of the impact case methodology
- Understanding and evaluating normal impact



# Understanding and evaluating societal impact (1)

- The **linear model** for understanding societal relevance forces upon us:
  - A one-sided and individualized perspective on the relations
  - A naïve interest in attributable evidence of impact
- **The case study methodology**
  - May still yield results that contradict the linear model and call for other frameworks for understanding
  - The main problem with this methodology is instead that it leads to a focus on extraordinary cases of societal impact

## Understanding and evaluating societal impact (2)

- Societal impact of research is **normal** and part of society
- Normal impact is about daily activities and **how well they are organized**, not about individual incidents of particularly interesting or impressive impact
- Normal interactions with society can be evaluated as such at the **organizational** level, taking **all inter-actors** into consideration