



# Knowledge Exchange and Valorisation Workshop

London, 9 July 2015

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## Acknowledgements

The workshop content was developed by Lucy Parnall (Arts and Humanities Research Council (AHRC) – HERA Network Co-ordinators), Anne Westendorp (Netherlands Organisation for Scientific Research (NWO) – NORFACE Co-ordination Office and TAP co-coordinator) and Jeremy Geelen (Social Science and Humanities Research Council Canada (SSHRC) – TAP co-coordinator). The workshop was organised by Elio Pérez Calle and Lucy Parnall of the AHRC.

This report is the result of an international collaborative effort. The production of this report has been led by Elio Perez Calle and Lucy Parnall (Arts & Humanities Research Council, AHRC) and has received the inputs of Ingrid Kissling-Näf and Claudia Zingerli (Swiss National Science Foundation, SNSF), Saskia van de Mortel (Netherlands Organisation for Scientific Research, NWO), Jacqui Karn and Manija Kamal (Economic and Social Research Council, ESRC).

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## 1. Introduction

The Knowledge Exchange and Valorisation Workshop was jointly organised by

- [HERA](#). A partnership between 24 humanities research councils across Europe and the European Commission, with the objective of firmly establishing the humanities in the European Research Area and in the European Commission Framework Programmes;
- [NORFACE](#). A collaborative partnership of national research funding agencies from 16 European countries in the area of social and behavioural sciences; and
- [T-AP](#). A partnership between 17 major research funders in Europe and the Americas which have partnered to pave the way for increased transatlantic research collaboration in the social sciences and humanities.

All partners involved in these networks were invited to attend the workshop and the full list of participants in the workshop is available as [annex B](#).

### *Objectives*

The aim of this meeting was to share knowledge, learn about different approaches to knowledge exchange and valorisation. Not only acquiring new knowledge from our colleagues but also understanding the challenges and opportunities this way of working brings.

The workshop was the first time HERA, NORFACE and T-AP have collaborated in a joint activity, and enabled joint learning across social sciences and humanities, as well across Europe and the Americas.

### *Structure*

The workshop was co-chaired by Dr. Renée van Kessel – Coordinator of NORFACE & Co-Chair of the Trans-Atlantic Platform, and Professor Sean Ryder – Chair of HERA.

A plenary session took place after the introduction with presentations from researchers engaged in knowledge exchange and valorisation followed by a general discussion.

The participants were then divided into small groups and the discussion was organised in parallel sessions around four themes:

- Examining big data/long term investments which don't have a short term output. How do make the case for 'value' – led by Jacqui Karn (ESRC).
- Mapping, measuring and capturing impacts of Knowledge Exchange and Valorisation activities – led by Ingrid Kissling-Näf and Claudia Zingerli (SNSF).
- Co-production and Co-creation. What does this mean and how can it enable effective partnerships between academic and non-academic partners and organisations – led by Lucy Parnall (AHRC).
- Knowledge Exchange, Valorisation and Impact from the perspective of the networks (HERA, NORFACE and T-AP) – led by Saskia van de Mortel (NWO).

The detailed agenda of the workshop can be found in [annex A](#).

## 2. Plenary Session

The following presentations were delivered by researchers engaged in knowledge exchange and valorisation:

- Professor Jonathan Dovey, UWE, [REACT Hub](#)
- Professor John Loxley, University of Manitoba [Partnering for Change: Community-Based Solutions for Aboriginal and Inner-City Poverty.](#)
- Professor Linda Steg, [University of Groningen](#)

The speakers all worked with different non academic sectors, and following the presentations, a discussion session took place analysing different aspects of knowledge exchange. The structure of the discussion session was mainly a Q and A aimed at the speakers. Therefore the comments below reflect the speaker's experiences.

### *Liaising with non-academic partners*

- The time and contribution of non academic partners needs to be valued as part of a partnership. Sometimes you need to pay them, as competing demands are a real issue for people from smaller organisations or community groups.
- The role of the producer (relationship manager) was the cornerstone of the REACT project; it included looking for the right people, building and mentoring the relationships, especially with partners outside the university that might feel intimidated.
- A neutral space, nor in the university neither in the partner's premises can help to make all participants comfortable in the project.
- Partnerships need to be based on equal status and a fundamental part of the project not an add on. When working with communities, having 'concerns of the community' as a standing agenda item was suggested as a way of ensuring this was specifically addressed and kept to the foreground.
- The stages of the collaboration with non-academic partners were defined as:
  1. Translation between partners.
  2. Negotiation of a common ground.
  3. Be reflective throughout process
  4. Advocate for partnership.
- Collaboration with the private sector can raise many issues regarding IP etc.; sometimes need to think creatively on how to solve this eg business can keep the IP, instead of the university keeping it. It was mentioned that the rules, regulations and timescales of universities can be a barrier with working with small organisations where delays in payments etc can have a big impact
- Instead to telling a company/organization/person what Academia can offer them it is suggested to find out what their problems are, what challenges are they meeting, in order to identify potential partnerships.
- It was noted that there are still challenges in working with large private sector organisations and academic independence can be questioned if in partnership with these organisations.

### *How can funding help?*

- In Canada, being able to fund community partners has made a huge difference, particularly as hiring people from the community was previously a problem but can be a vital requirement of a project.
- It was noted that the same time is required to write the proposal and to get additional funding from non-academic partners if match funding is required. Counting time and space as contributions is very helpful.
- Setting up your scheme to allow for effective partnerships. If a new activity, be flexible as a funder to consider the needs of the projects as situations arise
- It is difficult to define how to fund an 'ecosystem' of relationships, partnerships, including private sector, for a knowledge commons.

### *Communication and dissemination*

- Communicating in different ways is needed, not only in an academic way. The theory behind the work has to be properly communicated so it can be understood and also how it can be applied.
- It is recommended to use all available tools for communication, including social media, blogs, films designed to be viewed in phones, etc.

### *Skills - Do people need different skills to do this kind of work?*

- Acknowledged it's not for everyone but increasingly partnerships/wider outreach are being taught to PhD students/built into PHD programmes.
- Don't be afraid to bring people in for specific things eg produce a policy briefing
- Initiatives like requiring dissemination plans on applications and allowing costs for this is encouraging this thinking.
- Need a flexible approach.

### *Role of the Social Sciences and the Humanities*

- New challenges require multidisciplinary solutions, such as in Internet of Things projects, in which communicators required as well as engineers; these kinds of projects can be very successful and have much added value.
- It was noted that these approaches are not suitable for everything and everyone, this is just one part of research and it is important to 'protect' pure research as well as enabling more impact driven work.
- Noted that measurement of this area is problematic – can't put a number on everything and some things are more suited to narrative.
- Felt that each project needed to take its own approach to building relationships needed for successful partnership, SSH have potential to engage with a wide variety of sectors, groups and organisations.

### 3. Parallel Sessions

#### Examining big data/long term investments which don't have a short term output – how do make the case for 'value'

Discussion led by Jacqui Karn (ESRC)

##### *What do we understand by 'Big data'?*

There is wide variation in experience in funding investments in 'big data' research and infrastructure amongst funders and potential for different cross-disciplinary understandings. There was common agreement on 'big data' sources, characterised as large/ longitudinal survey datasets, or potentially linked large administrative datasets (e.g. census data, taxation data, geo-located data, medical records), as well as those created for preservation as well as research purposes, (e.g. digitisation of historical documents/art/artefacts, 3D modelling data, linguistic corpora, internet archive, digital libraries). It was noted that new sources of continuously created data not originally intended for research purposes (e.g. social media), transaction data (e.g. retail loyalty card data) and public interaction to create data (e.g. through google maps) are also providing lots of research potential across disciplines. These highlight some disciplinary differences in how the value of these sources might be defined, as there could be a preservation value in 'big data' investments, as well as a research value.

##### *Opportunities and Challenges to Impact and Knowledge Exchange for Data Investments*

In the context of a widespread commitment to 'open data' there was considerable awareness in the room of investments in social science data archives to enable researcher access to high quality social science data<sup>1</sup>. Such investment in infrastructure to ensure researcher access to data and ensure data quality, standards of use and storage, and compliance with data protection was well understood and well regarded as it enabled cross-government sharing of the costs of providing access to data, as well as the potential to make it possible for other sectors, such as retail sector, to contribute their data for research which would otherwise not be feasible. Participants also stressed the value of investments to enable international comparison in addressing problems that cross-boundaries, enabling the creation of internationally comparable data, and access to data held in other countries. Some countries reported that they require researchers to deposit data for future re-use by others

Countries operate within different administrative and political environments, which influence their data investments. Some countries invested in intermediary bodies, between researchers and data holders, to provide infrastructures to enable data linkage in compliance with data protection and security, and to build capacity<sup>2</sup>. However in some countries, where administrative datasets use common identifiers, there appeared to be less need for such investments. In countries where public concerns about state surveillance – given past experience of surveillance regimes – or confidentiality (e.g. of medical data) are greater, there may be more barriers and political sensitivities to linking and working with certain types of data. This means the nature of national investments in big data infrastructure is likely to differ.

Again discussion highlighted the additional and slightly different emphasis on long-term preservation within humanities big data initiatives, and so their particular focus on issues around addressing ICT

<sup>1</sup> E.g. [Consortium of European Social Science Archives \(CESSDA\)](#) [the UK Data Service \(UKDS\)](#), [Estonian Social Science Data Archive -ESTA](#)

<sup>2</sup> E.g. [ESRC's Administrative Data Research Network \(ADRN\)](#)

inter-operability and obsolescence (in addition to those of access, quality and standards regulation). Initiatives to provide access to humanities 'big data' at the European level were particularly highlighted during the discussion<sup>3</sup>)

### *What do we mean by value, and can we make a case for it?*

There was general agreement of the value of big data investment from a research perspective, but that research bodies were under increased pressure to justify such investments. Although there have been attempts to make the case for the value for money of the infrastructure initiatives, there was general agreement that the case for investment should come primarily from the potential uses to which it is put, and how it can be most effectively utilised by researchers and others.

It was felt to be a clear demand for research insights to inform policy, as policy-makers often 'drowning in data' without the expertise/ capacity to make full use of it for shaping conceptualisation of problems and policy making. While some countries, and in particular some cities (e.g. Estonia and Rio de Janeiro), were mentioned as having been able to unlock this potential through more integrated data to inform policy-making, there remain considerable barriers to the impact of such investments which it was felt important to recognise in their assessment.

There remain significant gaps in technical skills to use big data for complex analysis, particularly where there may be issues of data quality and usability. The educational/ capacity building potential of access to datasets in the training of new researchers and analysts, and for professional development, is apparent. However, the limited exploitation of data was stressed to be not simply a question of limited technical capacity, but also the need for analysis to be informed by research questions, and the nature/complexity/quality of some data sources. It was suggested that infrastructure intermediaries have a potential key role in promoting methodologically-informed use by evaluating research questions as a pre-requisite for access. Furthermore, the design and co-production of these questions alongside potential users, such as policy-makers, from the outset, has the greatest chance of having policy impact.

Educational uses of access to 'big data' investments (e.g. digitised material), for public engagement or teaching purposes was highlighted particularly for 'humanities' data. The use of the records of registration of users in the provision of access is one of the key ways in which funding organisations had attempted to demonstrate impact in terms of public access (e.g. to a digitised collection) but this could also highlight socio-economic/ technical literacy barriers to public access that mean the evaluation of the impact of investments for public access aims need to be sensitive to these.

Demonstrating impact in terms of usage (from user registration records) or tracking impact back from citation records (a requirement of use) appeared to be common. However, it was considered that such records are limited as a means of showing knowledge exchange and so whether they had achieved their aims in terms of their contribution to informing (re)conceptualisation of social problems or policy decision-making. Citation records can be an unreliable reflection of actual use and influence, particularly beyond the academic community. Since use, and re-use of data investments, such as longitudinal surveys, may not be funded directly and so the use of data, or

<sup>3</sup> Both disciplinary (e.g. [Common Language Research Infrastructure \(CLARIN\)](#) and [Digital Arts Research Infrastructure in the Arts and Humanities \(DARIAH\)](#)) and cross-disciplinary (e.g. [PARTHENOS](#) ).



findings from their use, not monitored directly by the funder tracing the policy impact of the influence of data can present particular challenges.

There was limited experience of evaluating the impact of big data investments in terms of their influence on policy. One example was the ESRC Millennium Cohort Study (MCS)<sup>4</sup>'s impact evaluation, for example, attempted to trace forward through interviews with policy makers and policy influencing organisations how the MCS had come to have a widely reported influence on policy and raised important issues for funders in considering how to best support researchers to achieve policy impact.

In general it was considered that there was lots of potential for joint learning in this area.

## Mapping, measuring and capturing impacts of Knowledge Exchange and Valorisation activities

Discussion led by Ingrid Kissling-Näf and Claudia Zingerli (SNSF).

### *Two Hypotheses*

1. Funding agencies are increasingly under pressure to quantify and qualify the performance of publicly funded research, particularly in the Social Sciences and Humanities.
2. A lot of activities on the level of data collection and transfer activities are ongoing but few effect/impact models and related data mining are available for systematic analysis and assessment.

### *Main points from group discussion on three questions*

1. What are the main activities of funding agencies in capturing knowledge transfer at the moment?

A lot is being done by the funding agencies particularly in supporting knowledge exchange activities; e.g. science communication training and support. However, on the analysis side for capturing impact activities seem uncoordinated. Two aspects were mentioned:

- Developing methods for transfer of SSH knowledge, e.g. publishers;
- 'Knowledge Exchange/Knowledge Transfer' changing communication depending on target groups in the fields.

2. Where is the strongest need for development? (On the level of knowledge and technology transfer (KTT) activities in capturing output or impacts or in developing effect models or data mining)

- Self-confidence of SSH in impact generation. Skills of the liaison agencies, "transfer officers" for SSH. Commitment of organisation.
- Conceptual classification/position; What for and for whom?
- Impact as process included into the research design, with own impact criteria and context dependency. Understand what impact is. Challenge is now to measure: diffusion of ideas and capture social media (mapping).

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<sup>4</sup> [Impact Evaluation of the Millenium Cohort Study](#)

### 3. What are the next steps to enhance the visibility of humanities [and social sciences]?

Suggested were: Better examples; Impact documentation; Comparison of KE/KTT and impact activity report; Lobbying; Science communication, e.g. Cultural site visits to the projects and afterwards public presentation; Working with the media -5 minutes of 'best practices' in SSH projects; Summer schools for SSH.

When to measure impact? How to valorise knowledge? How to measure "non-economic" impact?

- Lots of effort in the Netherlands to collect data and evaluate about impact but initiatives do not work together. Problem is shared idea and definition and how to evaluate the data and measurement into a language that policymakers and public understand.
- Knowledge transfer office/Personnel within programs can make the difference.
- Basic research is often excluded from impact question.
- Systematisation and conceptual clarification on Input and output data / pathways to impact / impact in a longer term / output mapping / quality
- Canada: achievement reporting; New methodology (evaluation) to be built up; See "Yaftle"- "Research impact" groups – CFHSS Study; Intensifying internal engagement from all departments: program, evaluation, communication; Multifaceted / integrated approach that recognises the various roles/activities of players in the research ecosystem: reporting by researchers, training, (strategically) reports for different audiences.

### *Reflections*

There are ongoing activities in the funding agencies. These knowledge exchange activities are very different and depend a lot on the participating groups. The concept itself is not completely well defined, so different ideas are being used in different organisations, regarding knowledge exchange but also regarding output and impact.

- There are a few front runners among the participants in the workshop (Canada, UK) which ask their researchers in all domains to produce pathways to impact; it is integrated in basic research in these cases. This is very different in other agencies.
- We are sitting on a lot of data, both input and output data; we are confronted with the data mining question and thinking how to analyse it. It is necessary to engage in a documentation and systematisation process based on more clear concepts. Canada is dealing with achievement reports, we should develop these kind of systems, including communicating outputs.
- Evaluation of knowledge exchange is ongoing. Methodologies exist but they have to be developed, particularly in the area of basic research, where impact is seldom integrated in most agencies.
- A scoping, comparative exercise would be needed to know the state of the art in the different participating countries.
- Attention was also drawn to EU-funding under Horizon 2020, where impact is the second criterion after excellence. Applications under Societal Challenge 6 (which mainly focuses on SSH) are also part of the data management plan pilot, where applicants will have to develop a fully-fledged data management plan.

## Ongoing Activities of funding agencies for KTT

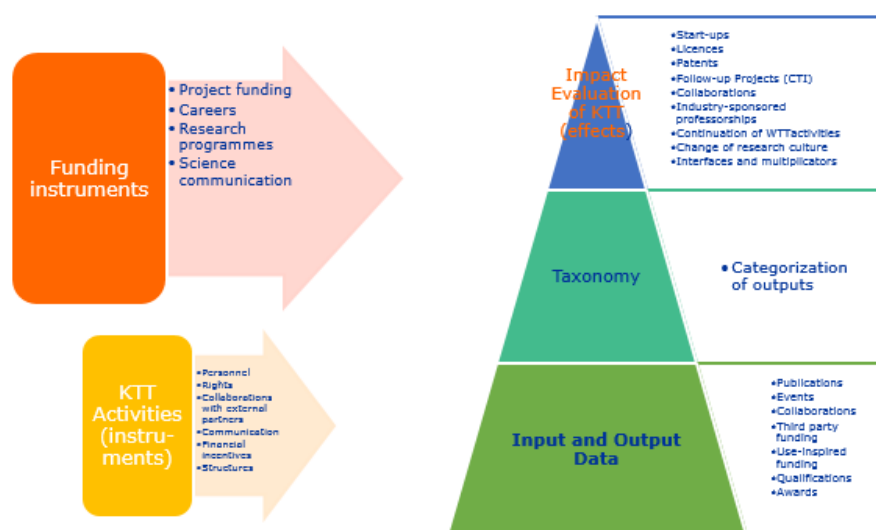


Figure 1 Ongoing Activities of funding agencies for KTT.

## Co-production and Co-creation: What does this mean and how can it enable effective partnerships between academic and non-academic partners and organisations?

Discussion led by Lucy Parnall (AHRC)

### Use of the terms

In general these terms were not widely used terms across partners, not only was terminology different but the level of academic/non-academic interaction encouraged by funders varied substantially. Co-production etc. were most widely used in Canada, the Netherlands, the United Kingdom and ISSC however even then there isn't a common definition (other terms mentioned in discussion included cooperation, knowledge mobilisation). In Germany co-creation is mostly considered as a market led strategy rather than SSH led. For some participants the term was very unfamiliar and raised questions such as 'Is co-creation the same as PPP (public private partnerships)?', 'Where is this coming from bottom up vs top down?' Who are the stakeholders? Industry, SME, communities, local government? There was a sense of needing to define differences even if a common definition is unlikely.

### Role of non-academic partners and partnerships

- In general most participants reported that dissemination beyond academia was widely expected from funders. The practices varied from an expectation that the researcher do this themselves, to the funding agency taking an active role in translating the academic outputs to policy makers and different audiences (Finland and Estonia).
- The concept of a non-academic partner being fundamentally involved in a research process was not that widely established, but several organisations reported that non academics are being bought into strategic theme development etc. Where non-academic partners are involved in the

assessment process it was noted that peer review and process needs to be thought about and may raise other challenges.

- Noted some of the terminology is similar around multi/interdisciplinary working (i.e. across academic disciplines) and the majority of organisations stated this was an increasing area of collaboration.
- When considering ‘non-academic’ partners, some partners felt that there was an assumption that this refers to a particular sector. Several partners reported that this is often assumed to be limited to industry relationships.
- Participants noted that some sectors are very hard to reach e.g. SMEs, and that SSH research engages with so many different sectors and partners.
- Partners reported good examples in specific areas e.g. with local government (Czech Republic), heritage and landscape (Portugal), in general there was great interest in thinking more widely about different sectors and opportunities
- National context was a factor for some participants. In some countries there is more of a split between applied and academic universities (and the funding of these) co-production aspects are happening on the applied side (rather than the academic).
- Discussion around the benefits of articulating features of good partnerships and usefulness of examples. It was noted partners have different expectations but the relationship had mutual benefits to all participants. Needs to be seen to be valuable, be nurtured and need joint awareness (e.g. sometimes both communities waiting to be asked and expecting the other to lead).
- Questions were raised that if the challenges of partnerships are foregrounded does that ‘put people off?’ but those who have encouraged this relationship felt that this wasn’t the case as the partnership also had benefits to articulate e.g. impact on research and partners. It was noted that some prompts/encouragement were sometimes needed.
- It was noted that partners can often have different expectations around timing/outputs etc. the relative slowness in academia can sometimes be challenging for partners with very immediate concerns and lots of pressure on their time.
- Recognise that exposing an idea to non-academics might result in changes – its enriching and more productive but needs to be sorted out before the start – can co-exist even if very different, but tension is part of the process.

### *Funding and mechanisms*

This discussion didn’t focus on enabling partnerships through direct funding (which was quite limited across funders, and even where it did take place was often linked to specific schemes rather than being a universal opportunity) rather several comments were made around other mechanisms that were useful to consider.

- Show casing of effective projects was highlighted by some funders e.g. United Kingdom (ESRC) have an impact prize and Portugal have a prize in philosophy linked to impact.
- Lithuania gave example of projects spanning art, research and industry to help showcase, to humanities researchers in particular, the potential of collaboration (funded projects highly visible and very successful).
- Canada spoke about their process of commissioning papers and having a synthesis process following theme development helps ‘close loop’ and reflect on achievements.

- Chile reported that there was little activity in this area nationally, but promoting science in schools does take place.
- The Netherlands and the United Kingdom reported that they had non-academic partnerships as a fundamental part of some PhD programmes. Canada also reported opportunities and mechanisms for graduate students in their early training as scholars to communicate and network effectively eg storytellers challenge.
- Germany drew attention to a specific call for proposals (Language of Objects) where the project was expected to present its results publicly, for example through conferences, video blogs, and exhibitions.

### *Reflections*

- Lots of examples and approaches that could be used across partners, and to move across disciplines and sectors. For example some funders mentioned that industry is the most commonly assumed relationship but thinking about communities etc. raises some interesting possibilities.
- What is an effective partnership? Needs to be mutually beneficial, clear expectations, realistic, will be project specific (one size doesn't fit all), importance of maintaining relationship throughout the project; Partnerships need to be nurtured, this can be hard work but also very valuable. The relationship is a longer term investment. Articulating learning from academic/non academic partnerships could be useful.

## **Knowledge Exchange, Valorisation and Impact from the perspective of the networks (HERA, NORFACE and T-AP)**

Discussion led by Saskia van de Mortel (NWO)

**Questions:** How to deal with different approaches and attitudes towards knowledge exchange and valorisation? What difficulties do we encounter?

### *Main points from group discussion*

1. "Exchange experiences" is a key term – a very important idea in this group discussion.
2. There are no common definitions for knowledge exchange, valorisation, and impact.
  - This is not just an issue of 'language', but also of approach. Practices and experiences differ between countries: some countries are 'further' than other countries. The approach taken also depends on the national situation. These differences should be addressed somehow when thinking about a common approach in the networks.
3. There is resistance within some academic communities and countries.
  - Knowledge exchange is not always appreciated and/or recognized as something that researchers should pay attention to. But experiences so far from the networks are that researchers can learn when they work together in projects, and they start to value the value of impact.

- It is important to 'transfer' experiences with knowledge exchange from already funded projects to new ones. It is very useful for councils to share experiences in promoting and encouraging knowledge exchange. It is also useful to share experience in how to 'measure' (or make visible) ways of impact.
- The networks should be proactive in this sense, and not defensive. Knowledge exchange and impact are something that should not be laid upon us (by the EU); we should play an active role ('shape discourse').
- The networks (HERA/NORFACE/TAP) could come up with a joint agenda for knowledge exchange, combine experiences so far and a common approach.

4. On a more practical level when developing a common approach/definition several questions should be addressed.

How to assess knowledge exchange during the assessment procedure (e.g. weight compared to other criteria, assessment by whom)? Should it be obligatory for projects? Do you treat different types of research differently (fundamental vs. applied research)? Is knowledge exchange (valorisation, social impact) relevant in the light of the topic of the call? How to deal with practical obstacles on the national level (e.g. regulations on transferring funding to non-academic organisations)?

### *Reflections*

- It is important to 'transfer' experiences with knowledge exchange from already funded projects to new ones. It is very useful for councils to share experiences in promoting and encouraging knowledge exchange. It is also useful to share experience in how to 'measure' (or make visible) ways of impact.
- The networks should be proactive in this sense, and not defensive. Knowledge exchange and impact are something that should not be laid upon us (by the EU); we should play an active role ('shape discourse').
- The networks (HERA/NORFACE/TAP) could come up with a joint agenda for knowledge exchange, combine experiences so far and a common approach.

## 4. Conclusions

### *Summary*

Knowledge Exchange and Valorisation workshop has proven itself as very beneficial for joint learning<sup>5</sup>, with very positive feedback from the participants. The workshop was really a starting point; bringing together for the first time organisations from across the Americas and Europe, and Social Sciences and Humanities, providing a fruitful basis for discussion and stimulation of ideas.

We learned there are ongoing activities in the funding agencies, but these knowledge exchange/valorisation activities can be very different and depend a lot on the participating groups. The workshop revealed potential for more joint learning and enthusiasm for the ideas generated at the workshop. It was noted that knowledge exchange, valorisation and knowledge mobilisation are not universally defined, so different ideas are being used in different organisations; this is also true when thinking about outputs and impacts.

The individual aspects of the workshop had cross over and discussion focussed around several themes.

Wider dissemination beyond academia and multi-disciplinary working (across academic disciplines) were both widely established across participants. Activities that enabled non academics to be part of a research process were much less established in general, though Canada, Netherlands and United Kingdom had the most national examples and experience of this type of working.

Features of 'successful' academic/non-academic partnerships were discussed. Noting the wide range of non-academic sectors involved with SSH research – from business to community groups to policy makers – the importance of equity in the relationship and a bespoke approach were highlighted i.e. need to understand partner needs and adapt accordingly. For those involved in these projects there was a sense of the research being enriched by this collaboration even if it could be challenging.

There was widespread commitment and agreement to the value of data investments and big data. It was highlighted that new opportunities in this area such as the growing volume and access to data, including social media data, meant that improved analytics and understanding of the nature of data could improve its use, particularly for policy makers. Measuring the impact of these types of investments was highlighted as an area of limited experience but was seen to be important.

Measuring and mapping impacts was also discussed, and the challenge of measurement highlighted. It was an area where the potential for more joint learning was specifically recommended. Linked to this discussion were issues of communication and increasing the visibility of SSH research, in some cases capturing the impact of basic research, or integrating impact into basic research was felt to be more difficult. The confidence of the SSH community in impact generation was also mentioned.

Participants raised suggestions and ideas beyond funding mechanisms – the use of prizes and specific types of awards were highlighted as ways of increasing visibility and understanding of KE/Valorisation in an SSH context.

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<sup>5</sup> The average satisfaction score from participants who returned forms was 9/10 (with 10 being the highest).

Different contexts were highlighted across discussions. Countries operate within different administrative and political environments and the nature of national investments in funding and infrastructures (and associated support) vary. However the context of discussion also highlighted potential for challenging assumptions. For some countries the approach to valorisation and knowledge mobilisation has been limited to market delivery or technology but the range of activities discussed eg. working with communities etc. highlighted additional opportunities to consider.

### *Recommendations*

- The networks (HERA/NORFACE/T-AP) should be proactive in this sense, and not defensive, playing an active role in knowledge exchange. It is recommended that the networks come up with a joint agenda for knowledge exchange and combine experiences so far and a common approach.
- Continue to share best practices and experience to better know about the initiatives that are being carried forward in other countries, and have a better grasp of what is understood by knowledge exchange/valorisation but also regarding output and impact, and how to measure them.
- Consider the need of a wide scoping, comparative exercise to understand the state of the art in the different participating countries. This scoping exercise would help to define the concept of Knowledge Exchange across Europe.
- Evaluation of knowledge exchange and data investments is ongoing. Methodologies exist but they have to be developed – another area of potential joint learning.
- In order to foster the development of new partnerships with non-academic partners (private sector, communities, etc.); articulating learning from successful academic/non-academic endeavours could be useful.

### *Further reading*

The participants in the workshop provided a document with their organisation's views on knowledge exchange and valorisation. A compilation of these views can be downloaded [here](#).



## Annex A. Agenda of the event

### Wednesday 8 July

7.00 Workshop dinner. Grange White Hall Hotel. 2-5 Montague St, London WC1B 5BU

### Thursday 9 July

9.30 Registration

10.00 Welcome and introductions (Dr. Renée van Kessel – Coordinator of NORFACE & Co-Chair of Trans-Atlantic Platform - and Professor Sean Ryder – Chair of HERA)

10.15 Presentations from researchers engaged in knowledge exchange/valorisation

- Professor Jonathan Dovey, UWE, [REACT Hub](#)
- Professor John Loxley, University of Manitoba [Partnering for Change: Community-Based Solutions for Aboriginal and Inner-City Poverty](#)
- Professor Linda Steg, [University of Groningen](#)

11.35 Discussion on project presentations and discussing different approaches to knowledge exchange i.e. what has worked well, is this being systematised? What lessons can we learn from each other as funding organisations to enable researchers and non academic partners to have productive relationships?

12.30 LUNCH

1.30 Introduction to the afternoon sessions

1.40 Small group discussions (note exact format to be decided but attendees will be able to participant in at least 2 groups)

- Examining big data/long term investments which don't have a short term output – how do make the case for 'value';
- Co-production and co-creation – what does this mean and how can it enable effective partnerships between academic and non-academic partners and organisations?;
- Knowledge Exchange, Valorisation and Impact from the perspective of the networks (HERA, NORFACE and T-AP);
- Mapping, measuring and capturing impacts of Knowledge Exchange and Valorisation activities.

- 3.00 COFFEE and TEA.
- 3.15 Feedback from small groups.
- 3.35 Reflections, way forward. What can we do to build on this workshop? Useful to have an ongoing dialogue? Is there more information to share? What is the role of T-AP/NORFACE and HERA?
- 4.20 Summary of actions, thanks and goodbye.
- 4.30 End.

## Annex B. List of attendees

Name	Affiliation
Aare Ignat	Estonian Research Council
Allie Brown	Arts and Humanities Research Council, UK
Anne Westendorp	Netherlands Organisation for Scientific Research
Carlien Hillebrink	Netherlands Organisation for Scientific Research
Claudia Zingerli	Swiss National Science Foundation
Elio Perez Calle	Arts and Humanities Research Council, UK
Eric Bastien	Social Sciences and Humanities Research Council, Canada
Giedre Kojelyte	Research Council of Lithuania
Gonçalo Zagalo Pereira	Fundação para a Ciência e a Tecnologia, Portugal
Gunnlaug Daugstad	Research Council of Norway
Heather Williams	Arts and Humanities Research Council, UK
Hulda Proppé	Icelandic Centre for Research
Ingrid Kissling-Näf	Swiss National Science Foundation
Jennifer Striebeck	DLR - Project Management Agency, Germany
John Loxley	University of Manitoba, Canada, <i>Keynote speaker</i>
Jon Dovey	University of the West of England, Bristol, UK, <i>Keynote speaker</i>
Jurgita Staniskyte	Research Council of Lithuania
Katerina Solcova	Czech Academy of Sciences
Kerstin Sahlin	University of Uppsala, Sweden
Jacqui Karn	Economic and Social Research Council, UK
Linda Steg	University of Groningen, Netherlands, <i>Keynote speaker</i>
Liisa Laakso	University of Helsinki, Finland
Lucy Parnall	Arts and Humanities Research Council/HERA
Luísa Igreja	Fundação para a Ciência e a Tecnologia, Portugal
Malwina Gebalska	National Science Centre Poland
Manija Kamal	Economic and Social Research Council, UK
Margit Suuroja	Estonian Research Council
Maria Trinidad García	Comisión Nacional de Investigación Científica y Tecnológica, Chile
Marja Berendsen	Netherlands Organisation for Scientific Research
Marko Perdih	Slovenian Research Agency
Minna Söderqvist	Academy of Finland
Monique Septon	Fund for Scientific Research-FNRS, Belgium
Otto Auranen	Academy of Finland
Pierre-Olivier Pin	Agence Nationale de la Recherche, France
Renée van Kessel	Netherlands Organisation for Scientific Research
Saskia van der Mortel	Netherlands Organisation for Scientific Research
Sean Ryder	HERA
Soley Morthens	NordForsk

Name	Affiliation
Tiiu Pass	University of Tartu, Estonia
Tina Vuga	Slovenian Research Agency
Ursula Gobel	Social Sciences and Humanities Research Council, Canada
Vania Virgili	National Research Council, Italy
Vivi Stavrou	International Social Science Council, France
Vivian Tseng	William T. Grant Foundation, USA



# Knowledge Exchange and Valorisation Workshop

London, 9 July 2015

**Contributions from the Participating Organisations**

[Elio Pérez Calle](#) and [Lucy Parnall](#)

Arts & Humanities Research Council, UK

## Background

The Knowledge Exchange and Valorisation Event was jointly organised by

- [HERA](#). A partnership between 24 Humanities research councils across Europe and the European Commission, with the objective of firmly establishing the humanities in the European Research Area and in the European Commission Framework Programmes;
- [NORFACE](#). A collaborative partnership of national research funding agencies from 16 European countries in the area of social and behavioural sciences; and
- [T-AP](#). A partnership between 17 major research funders in Europe and the Americas which have partnered to pave the way for increased transatlantic research collaboration in the social sciences and humanities.

## Objectives

The aim of this meeting was to learn about different approaches to knowledge exchange and valorisation and not only acquiring new knowledge from our colleagues but also understanding the challenges and opportunities this way of working brings.

## About this document

Prior to the workshop, the participants were asked to share their organisation's views on knowledge exchange and valorisation. This document contains these contributions, collected by [Elio Pérez Calle](#) and [Lucy Parnall](#) (Arts & Humanities Research Council, UK). The following organisations provided their input:

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## Academy of Finland (Suomen Akatemia, AKA), Finland

Provided by Otto Auranen, Liisa Laakso and Minna Söderqvist

*Please state how your organisation defines Knowledge Exchange and/or Valorisation [or any other terminology you use]*

The Academy of Finland doesn't have an official definition for knowledge exchange and/or valorisation. However, the Act on the Academy of Finland states that one of the duties of the Academy is "to foster scientific research *and its utilisation*". According to the current strategy of the Academy, we are - among other things - committed to "reinforcing the role of science in resolving the grand challenges faced by society; putting to the best possible use, both in public policy-making and in business and industry, the results and expertise from the research it has funded; and enhancing the contribution of high-standard scientific research to development aimed at innovations".

In the discourse of the Academy (and Finnish science and innovation policy in general) on knowledge exchange and/or valorisation, terms such as (societal) impact of research, utilization of research and innovation activity are typically used.

*The aim of the workshop is to share best practice. Please list any activities, initiatives and programmes developed in your organisation to promote or implement Knowledge Exchange and/or Valorisation that are particularly successful. Please provide a short description for each of them and a web link if available.*

- 1) The Academy of Finland has recently started a two-year project to advance our knowledge on the impact of research. The project consists of two primary elements: improve our data base concerning the Academy-funded activities (including inputs, activities, outputs/outcomes, interaction, and impacts) and develop methods and indicators for assessing impact. The latter is strongly linked to the international activities, including work done within the OECD.  
The goals of the projects are to i) better be able to act as an advocate for scientific research, ii) to improve measures for accountability, iii) to provide data for guiding future decisions on resource allocation allocate, based on iv) analysis of the data. An important goal is also - by asking questions about impact - to guide researchers' thinking towards understanding the importance of impacts and effects of research. Dr. Anssi Mälkki is leading the project.
- 2) The Strategic Research Council (SRC) at the Academy of Finland provides funding for long-term and programme-based research aimed at finding solutions to the major challenges facing Finnish society. The SRC was founded in the Summer of 2014. Website: <http://www.aka.fi/en/research-and-science-policy/strategic-research-funding/>

- 3) We have Academy Programmes, which are thematic, target-oriented and coordinated bodies of research projects. They are meant for directing research and allocating research funding to fields that are considered of key importance in terms of the regeneration of science and the foresighting of future research needs. Some of the Academy Programmes have been set up in areas which have high societal relevance, such as ageing, climate change, governance of aquatic resources, power in society and new energy solutions.  
Website: <http://www.aka.fi/en/research-and-science-policy/programmes/>
- 4) We have events and seminars for various stakeholder groups. For example, the Communications Unit of the Academy organizes “science breakfasts” to which journalists are invited to discuss with scientists on a particular phenomenon, and media visits to universities and research organisations to showcase the top research and researchers in Finland. For general public we have so-called science cafés in different cities. These are mainly organised in connection to various national or regional science events and theme weeks. The selected themes are also related to social sciences and humanities.

For young people we organize the so-called Science Breaks at general upper secondary high schools. These are events where students can meet top-level scientists and engage in an open discussion on a “hot” science topic. The goal of the Academy of Finland’s Science Breaks is to promote young people’s participation and initiatives in building science awareness. There is also a special website on science aimed at general public interested in research subjects that is published by the Communications Unit ([www.tietysti.fi](http://www.tietysti.fi)).

- 5) Academy of Finland acknowledges annually two researchers for their work. One of these awards is granted for a researcher who has devoted his/her time and effort to societal impact of research.
- 6) The Communications Unit sends regular news emails to stakeholders who have registered to receive them.

*Please list any mechanisms/approaches to evaluate or measure the wider impact of Humanities research, i.e. outside Academia.*

- 1) The above-mentioned project on the impact of research.
- 2) The recipients of Academy’s research funding in all fields of research are required to submit reports on their projects. The report form includes an open-ended question about the communication of research outside scientific fora and audience.
- 3) The Academy of Finland systematically monitors media coverage of the research funded by the Academy, as well as the number of website visitors and attendees in public events (to evaluate public engagement).



- 4) Since the 1990s, the Academy of Finland has published several publications on the impact of research. Examples include:
- “The Impact Framework and Indicators for Science, Technology and Innovation” (2008):  
[http://www.aka.fi/globalassets/awanhat/documents/tiedostot/julkaisut/06\\_08-vindi.pdf](http://www.aka.fi/globalassets/awanhat/documents/tiedostot/julkaisut/06_08-vindi.pdf) (in Finnish, with English summary)
  - “Better results, more value” (2011):  
[http://www.tekes.fi/globalassets/julkaisut/better\\_results\\_more\\_value.pdf](http://www.tekes.fi/globalassets/julkaisut/better_results_more_value.pdf) (together with Tekes, the Finnish Funding Agency for Innovation)

## Arts & Humanities Research Council (AHRC), UK

Provided by Jessica Bacon and Heather Williams

*Please state how your organisation defines Knowledge Exchange and/or Valorisation [or any other terminology you use]*

The AHRC defines Knowledge Exchange as the co-creation, co-production and co-design of new knowledge between an academic and non-academic partner.

The AHRC tends to use **Impact** as a term for the wider value of our funded research, rather than valorisation. We abide by the wider RCUK (Research Councils UK) definition of Impact. This is: “the demonstrable contribution that excellent research makes to academic advances across and within disciplines, including significant advances in understanding, methods, theory and application”...and “the demonstrable contribution that excellent research makes to society and the economy...Impact embraces all the extremely diverse ways in which research related knowledge and skills benefit individuals, organisations and nations”.

It’s important to note that this definition includes both academic and non academic impact.

The AHRC has a broad definition of what we would include as non-academic impact. Impact could occur in any number of areas, such as (but not limited to) health and well-being, policy making, security, wealth creation and economic prosperity, training of skilled people for non-academic professions, and commercialisation of research.

*The aim of the workshop is to share best practice. Please list any activities, initiatives and programmes developed in your organisation to promote or implement Knowledge Exchange and/or Valorisation that are particularly successful. Please provide a short description for each of them and a web link if available.*

Whilst we do have specific programmes that support KE and Impact activities, the AHRC’s approach is to encourage all of our researchers, students and stakeholders to consider KE and Impact principles in everything they do. The majority of our research schemes stipulate that grant applications have to include a ‘**Pathway to Impact**’ attachment (this is a harmonised approach agreed across all the UK research councils). This aims to encourage applicants to explore, from the outset, who could potentially benefit from their work in the longer term, and consider what could be done to increase the chances of their research reaching non-academic beneficiaries. Although this section of the proposal is a requirement of submission, applications are still judged on the excellence of the research project, not on their impact plans.

Further information can be found here:

<http://www.rcuk.ac.uk/ke/impacts>

The AHRC has a number of initiatives/schemes focussing on maximising the impact and value of research in the arts and humanities.

An on-going scheme is the **Follow on Funding for Impact and Engagement scheme (FOF)**. This allows existing AHRC award holders to apply for funds to cover innovative and creative engagements with new audiences and user communities. Funds can be awarded for knowledge exchange, public engagement, dissemination and commercialisation activities that arise unexpectedly from an AHRC funded project.

<http://www.ahrc.ac.uk/Funding-Opportunities/Pages/Follow-on-Funding.aspx>

In 2013 we launched the two-year **Cultural Value Project**. The project seeks to establish a framework that will advance the way we evaluate the value of cultural engagement. The project has supported a number of networks, workshops and small research grants, all working towards the main aim of the project of capturing the value of the arts and culture in the UK.

<http://www.ahrc.ac.uk/funded-research/Funded-themes-and-programmes/Cultural-Value-Project/Pages/default.aspx>

Also in 2013 we supported 120 knowledge exchange projects through the AHRC's pilot **Cultural Engagement Fund**. 45 Institutions were awarded funding to support Doctoral students and Early Career Researchers (ECRs) engage with 120 third sector organisations, public body partners and businesses on short 3 month projects. The activities supported ranged from community events, multimedia apps, and interactive exhibitions. Researchers worked with a wide variety of partners including the BBC, The British Museum, local community and heritage groups, and local government.

<http://www.ahrc.ac.uk/What-We-Do/Strengthen-research-impact/public-engagement/Pages/Cultural-Engagement-Fund-Pilot-Scheme.aspx>

We aim to disseminate the achievements of our award holders in a variety of ways, firstly through publishing an annual **Impact Report**, which reports on the wide breadth of impact that has been achieved by our funding, encompassing postgraduate and research and specific KE based schemes.

<http://www.ahrc.ac.uk/News-and-Events/News/Pages/AHRC-Impact-Report-Published.aspx>

The four **Knowledge Exchange Hubs for the Creative Economy (KE Hubs)** represent the largest investment in knowledge exchange for AHRC (£16m). Based in Bristol, Dundee, Lancaster and London the hubs involve 30 HEIs and 7 creative and cultural partners across the United Kingdom. This allows them to be responsive to the needs of their local area, as well as establishing regional networks and ecosystems. Established in 2011, the aim of the KE Hubs was to offer a different approach from funding individual, small scale projects to four large centres. By devolving the powers and funding directly to the KE Hubs, it allowed them to be more responsive to the needs of the creative economy sector.

Design in Action based in Dundee: <http://www.designinaction.com/>

REACT based in Bristol: <http://www.react-hub.org.uk/>

Creativeworks London based in London: <http://www.creativeworkslondon.org.uk/>

Creative Exchange based in Lancaster: <http://thecreativeexchange.org/>

The AHRC also promote skills development and training in KE-related areas through its Collaborative Doctoral Partnerships (CDPs) and Collaborative Doctoral Awards, skills and training programmes offered by its Doctoral Training Partnerships (DTPs) and Centres for Doctoral Training (CDTs) and through formal partnerships to facilitate skills development e.g. with the BBC to offer the New Generational Thinkers scheme and the Institute for Government's policy seminars.

We also publish case studies and 'banners' on our website which illustrate the impact achieved by our award holders. We are currently gathering material for a specific 'Impact' section on our site, which will allow users to search for Impact Case Studies by region, area of impact, and by subject area.

*Please list any mechanisms/approaches to evaluate or measure the wider impact of Humanities research, i.e. outside Academia.*

**To evaluate:**

- The AHRC has commissioned a number of external impact evaluations: Impact frameworks/logic models to explore economic impact and other impacts through externally commissioned studies
- Creation of case studies following discussions with grant holders.

**To measure (for both KE and impact):**

- All Research Councils use **Researchfish**: a research outcomes information gathering tool which collects a wide range of information on collaboration, partner information, further funding, types of outputs, and non-academic outputs. There are sections for impact, policy impact, commercialisation metrics including patents, spin-outs, and esteem factors (e.g. prizes, conferences)
- Information from Researchfish feeds into the **Gateway to Research**, an outward facing portal which helps to highlight research expertise and findings from across the Research Councils and Innovate UK. The portal is easily accessible to other organisations, such as higher education institutes, charities, government, business, and other members of the public.
- The AHRC uses a few internal tracking tools like a Wiki and a case study library, which aims to get the whole organisation involved in capturing, analysing and publicising the impact of our funding.
- The Independent Review of the Role of Metrics in Research Assessment and Management was set up by the Higher Education Funding Council for England (HEFCE) in April 2014 to investigate the current and potential future roles that quantitative indicators can play in the assessment and management of research. Its report, 'The Metric Tide', was published in July 2015 and is available [here](#).
- HEFCE also maintains a repository of documents on good practice in knowledge exchange. This page can be accessed [here](#).

## Economic and Social Research Council (ESRC), UK

Provided by Vanessa Cuthill

*Please state how your organisation defines Knowledge Exchange and/or Valorisation [or any other terminology you use]*

**Impact:** Research Councils UK (RCUK) defines research impact as 'the demonstrable contribution that excellent research makes to society and the economy'. Research impact embraces all the diverse ways that research-related skills benefit individuals, organisations and nations. These include:

- fostering global economic performance, and specifically the economic competitiveness of the United Kingdom;
- increasing the effectiveness of public services and policy;
- enhancing quality of life, health and creative output.

A key aspect of this definition of research impact is that impact must be demonstrable. It is not enough just to focus on activities and outputs that promote research impact, such as staging a conference or publishing a report. You must be able to provide evidence of research impact, for example, that it has been taken up and used by policymakers, and practitioners, has led to improvements in services or business. Therefore, this can involve academic impact, economic and societal impact or both. The impact of social science research can be categorised as:

- Instrumental: influencing the development of policy, practice or service provision, shaping legislation, altering behaviour;
- Conceptual: contributing to the understanding of policy issues, reframing debates;
- Capacity building: through technical and personal skill development.

Determining the impact of social science research is not a straightforward task. Policy and service development is not a linear process, and decisions are rarely taken on the basis of research evidence alone. This makes it difficult to pin down the role that an individual piece of research has played.

The timing of evaluation also presents challenges. Too soon after the research ends may mean that any impact has yet to fully develop. Too late, and the impact may no longer be traceable as people involved have moved on. We are exploring new methods for assessing research impact on policy and practice. For further information see our information on [impact assessment](#). To find out more about evaluating impact, see our information on [measuring success](#).

**Knowledge Exchange:** Knowledge Exchange (KE) is a two-way process where social scientists and individuals or organisations share learning, ideas and experiences. KE is about opening a dialogue between researchers and research users so that they can share ideas, research evidence, experiences and skills. We are committed to knowledge exchange and encouraging collaboration between researchers and business, public and civil society. By creating a dialogue between these communities, knowledge exchange helps research to influence policy and practice. We build partnerships and work collaboratively in a range of ways. Examples of our collaborative activity include:

- developing strategic partnerships with organisations to ensure we maximise the impact of our activities;
- working with partner organisations to develop and fund major research and capacity building initiatives;
- supporting initiatives to foster direct collaboration between social scientists and other individuals and organisations.

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- These links <http://www.esrc.ac.uk/research/evaluation-impact/impact-evaluation/index.aspx> and <http://www.esrc.ac.uk/research/evaluation-impact/impact-evaluation/analysis-and-scoping.aspx> provide a general overview on ESRC's impact evaluation work and entail some important information on ESRC's impact evaluation work and discuss further activity to be taken forward
- [Cultivating connections: innovation and consolidation in the ESRC's impact evaluation programme\(PDF, 576Kb\)](#) is the latest impact evaluation report, analysing recent studies and the common threads running through them
- [Taking stock: a summary of ESRC's work to evaluate the impact of research on policy and practice\(PDF, 252Kb\)](#): This report covers the history of the ESRC's activity and its work in this area up to February 2009.
- [Branching out: new directions in impact evaluation from the ESRC's Evaluation Committee \(PDF, 176Kb\)](#): covers work undertaken between 2009 and 2011
- For the afternoon breakout group session on 'Examining big data' (ESRC is leading this session) these two report are particularly useful: Millennium Cohort Study - [Impact evaluation \(PDF, 793Kb\)](#) [WERS and ESS Impact Study \(PDF, 972Kb\)](#)
- **ESRC Pathways to Impact:** ESRC asks applicants to complete an Impact Summary (4000 characters max) and a Pathways to Impact attachment (maximum two A4 pages); for further information see <http://www.esrc.ac.uk/funding-and-guidance/impact-toolkit/what-how-and-why/pathways/index.aspx>
- The ESRC Impact Toolkit <http://www.esrc.ac.uk/funding-and-guidance/impact-toolkit/> includes information on developing an impact strategy, promoting knowledge exchange, public engagement and communicating effectively with your key stakeholders

- **ESRC Impact Acceleration Accounts:** <http://www.esrc.ac.uk/collaboration/knowledge-exchange/opportunities/ImpactAccelerationAccounts.aspx> Impact Acceleration Accounts (IAAs) are block awards made to Research Organisations to accelerate the impact of research
- **Knowledge transfer partnerships ((KTPs):** <http://www.esrc.ac.uk/collaboration/knowledge-exchange/KT-partnerships.aspx> The KTP scheme's mission is to strengthen the UK's competitiveness and wealth creation by enabling research organisations to apply their research knowledge to important business problems
- **Carrying out KE** <http://www.esrc.ac.uk/funding-and-guidance/impact-toolkit/what-how-and-why/knowledge-exchange/carrying-out-ke.aspx> summarises some key points to consider in taking KE forward
- **Celebrating Impact Prize** is an exciting opportunity to celebrate the outstanding economic and social impacts achieved by ESRC-funded researchers. The prize, now in its third year, is an annual opportunity to recognise and reward the successes of ESRC-funded researchers who have achieved, or are currently achieving, outstanding economic or societal impacts. The prize celebrates outstanding ESRC research and success in collaborative working, partnerships, engagement and knowledge exchange activities that have led to significant impact. <http://www.esrc.ac.uk/news-and-events/events/celebrating-impact-prize/prize-winners-2014.aspx>: Celebrating Impact Prize winners 2014

Other useful (non ESRC) resources:

- UKCDS <http://www.ukcds.org.uk/resources/evaluating-the-impact-of-research-programmes>
- FP7 funded projects: <http://impact-ev.eu/>
- SIAMPI <http://www.siampi.eu/12/642.bGFuZz1FTkc.html>

## Estonian Research Council (Eesti Teadusagentuur, ETAg), Estonia

Provided by Aare Ignat, Margit Suuroja and Tiit Paas

*Please state how your organisation defines Knowledge Exchange and/or Valorisation [or any other terminology you use]*

ETAg has no special definition as such for Knowledge Exchange and/or Valorisation, but ETAg has several activities, which can be qualified as Knowledge Exchange and/or Valorisation and categorized as different levels:

1. Knowledge Exchange on scientific research level.
  - a. ETAg participates in different pan-European scientific research nets (like COST, ERA) providing the scientist possibility for international cooperation via international calls and funding most successful projects.
  - b. International researchers mobility via European instrument EURAXESS and national instrument MOBILITAS.
  - c. Different bilateral cooperation.
2. Knowledge Exchange on conference/workshop level.
3. Knowledge Exchange on science communication level.

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### Science Communication Programme TeaMe

“TeaMe” – a national programme for science popularization is a European Social Fund (ESF) financed programme for encouraging interest in science and technology (S&T).

**The target group** of the programme is the inhabitants of Estonia, especially young people aged 14–26, but also general education and secondary school teachers, journalists covering S&T topics, researchers, scientists and engineers.

The **three main goals** of the programme are to:

- encourage young people’s interest in S&T and improve the image of S&T related professions;
- expand the scope of the Estonian science media;
- bring science closer to the people and make it more visible in media, disseminate the natural and exact science-driven way of thinking.



[The researcher mobility programme \*\*Mobilitas\*\*](#) for postdoctoral researchers and top researchers to apply for a grant to carry out a research in Estonia or abroad.

The objective of the programme is to activate international exchange of researchers and knowledge.

The programme Mobilitas lasts for eight years (2008-2015), with the total budget of 20.3 million euros, of which up to 85% is granted by the European Social Fund, state funding is no less than 10% and self-financing of the partners (Estonian R&D institutions) reaches at least 5%.

**The target group is as follows:**

- **Top researchers** who come from abroad to work in an Estonian R&D institution to create their own research group and do research in the first priority area of the Estonian Research and Development and Innovation Strategy 2007-2013 (information and communication technology, material technology, biotechnology, energy, environment technology, and health).
- **Postdoctoral researchers** who come from abroad to work in an Estonian R&D institution. It is also possible to be awarded a grant for going from Estonia to a R&D institution of a foreign state as well as an inter-Estonian grant. The number of researchers going to a foreign state cannot exceed 20% out of all grants awarded from the programme. The amount of inter-Estonian grants will not exceed 10% of all postdoctoral grants.

Researcher mobility programme **MOBILITAS+** is under preparation.

National programme "**Research, Development and Innovation Capabilities Increase in the Growth Areas of the Smart Specialisation**" is under preparation.

## Foundation for Science and Technology (Fundação para a Ciência e a Tecnologia, FCT), Portugal

Provided by Luisa Igreja

*Please state how your organisation defines Knowledge Exchange and/or Valorisation [or any other terminology you use]*

The term 'valorisation' is not common in the Portuguese system to refer the outcome and achievements of scientific research in the Humanities and Social Sciences. More common is the term 'impact', in particular 'cultural' or 'social impact'. By 'social' or 'cultural impact' we mean the forms of measurable change put forward in the cultural and social environment, institutions and public perception by scientific findings in the fields of Humanities and Social Sciences. Along with these interrelated forms of impact, last year (2014), Portugal has started a plan to improve the measure and scope of scientific impact in those fields through a national, digital, bottom-up inquiry to the scientific community which intends to filter and establish their habits of publication, in order to build a wider definition of what could a 'scientific output' be in those fields.

*The aim of the workshop is to share best practice. Please list any activities, initiatives and programmes developed in your organisation to promote or implement Knowledge Exchange and/or Valorisation that are particularly successful. Please provide a short description for each of them and a web link if available.*

As stated above, last year (2014) Portugal has started a plan to improve the measure and scope of scientific impact in those fields in the form of a national, digital, bottom-up inquiry to the scientific community which intends to filter and establish their habits of publication, in order to build a wider definition of what could a scientific output be in those fields.

## German Aerospace Centre-Project Management Agency (Deutsches Zentrum für Luft- und Raumfahrt, DLR-PT, BMBF), Germany

Provided by Dr. Gaia di Luzio and Jennifer Striebeck

*Please state how your organisation defines Knowledge Exchange and/or Valorisation [or any other terminology you use]*

BMBF research funding aims at financing the development of new ideas and technologies. Funding is provided for projects in a wide spectrum of research areas. The range covers everything from basic research in natural sciences, environmentally friendly sustainable development, new technologies, information and communication technologies, the life sciences, work design, structural research funding at institutions of higher education to innovation support and technology transfer.

EU-wide standardized regulations play a decisive role in the basic conditions of research funding. These regulations apply to, for example, definitions for research institutions and businesses, the criteria for what can be considered small and medium enterprises, or what relation between funding and equity capital is permissible with funded businesses.

Decisions for or against funding are always based on the clarification of points such as:

- **Degree of innovation/ excellence:** how innovative/excellent is a project from a scientific or technical perspective?
- **‘Utilization’ (Verwertung):** how can the prospects of success be assessed and how is it used in future ?
- **Avoidance of double funding:** has funding already been provided for the project idea?

‘Utilization’ is an important part of the calls for proposals and the project proposals need to respond to this, however, it lacks a precise definition. ‘Utilization/ Valorization’ varies greatly depending on the call for proposals and individual project topic:

- E.g. in the call for proposals of the ‘language of objects’ (*Sprache der Objekte*) the following instruments for valorization/utilization were requested: ‘Expected project results shall be presented publicly, for example through conferences, video blogs, exhibitions, etc..’  
evaluation criterion: ‘valorization prospects, visibility and connectivity at the national and / or international / European level.’
- ‘Utilization/ valorization’ plays - at least formally – an important role but it has a diffuse definition.
- The notion of utilization stems from BMBF funding in the economic and technical field. This leads to unclear concepts in regard to SSH project funding.

**Instruments in the SSH field:**

- **‘Use of results’** is the most common instrument for ‘utilization, mainly addressed to scientific community formats:
  - Meetings, conferences, or workshops
  - Publications (monographies, anthologies, journal articles)
  - Databases and research tools
  - Brochures, websites
- **‘Innovative formats’** which are also directed to **wider audiences**:
  - Involvement of stakeholders and decision makers (also in their role as multipliers and disseminators)
  - Networking activities
  - Publications beyond the scientific communities (e.g. manuals, guidelines, newspaper articles, broadcastings)
  - Press releases
  - User conferences
  - Exhibitions / traveling exhibition
  - Blogs, video documentaries
  - Trade fair presentations, fashion shows or the like
- **‘Economic success’**: Very rare in the SSH field, as it mostly concerns projects that relate in particular to the technological field. Usually difficult to identify or calculate even economic reuse.
- **‘Scientific and / or technical success after the project ends’**: Often the case when incorporated results in databases, scientific contacts, or consulting services have emerged that can continue to work in new networks.
- **"Scientific and economic connectivity"** for example, transferring project results/ or the project team in new research projects, or even permanent establishment of organizational structures. Using the results in further research, as the basis of possible application-related innovations (E.g. ‘interactions between natural sciences and SSH’: example: terahertz scanners; resistant mortar cistern).

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- The BMBF Department for Humanities and Social Sciences has put an emphasis on impact beyond academia. In particular, it aims at benefits of research across the environment, culture, public policy and services by initiating dialogues between academia and the public. In this vein, it promotes projects such as ‘Humanities in dialogue’ (*Geisteswissenschaft im Dialog*, <http://www.geisteswissenschaft-im-dialog.de/startseite.html>), which carry through expert discussions in public and broadcast them.
- In a similar vein it has started the so called ‘Agenda Process’ and has published a call for ideas for a new framework programme in the German weekly newspaper *DIE ZEIT* (<http://www.bmbf.de/de/23725.php>).
- The substantial funding of Centres for Advanced Studies in the Humanities (*Käte Hamburger Kollegs*) at 10 German universities implies the establishment of lasting structures beyond project financing at the universities thus leaving an imprint on their thematic and/or interdisciplinary profile (<http://www.kaete-hamburger-kollegs.de/en/index.php>).
- The same is true for the substantial funding of International Centres for Advanced Studies in the Humanities and Social Sciences (*Maria Sibylla Merian Centres*), which are allocated at universities or research institutions in South Asia (the first will start in July 2015 in Delhi), Latin America (to start in 2016), Africa and China. These centres should have a sustainable impact on structures for research cooperation and exchange between Germany and the host country (<http://www.bmbf.de/de/21528.php>).
- A structural impact is aimed at when engaging in international/ European initiatives and networks especially in the field of data infrastructures (e.g. CESSDA). Substantial funding for Digital Humanities Centres at German universities also requires a prospect of sustainable structures at the respective universities.

*Please list any mechanisms/approaches to evaluate or measure the wider impact of Humanities research, i.e. outside Academia.*

The evaluation of the wider impact of Humanities and Social Science research beyond academia is part of the general report system. The project management agencies evaluate annual and final reports, in which wider benefits are an important item to report on.

## Ministry of Economy and Competitiveness (Ministerio de Economía y Competitividad, MINECO), Spain

Provided by Teresa Jurado-Guerrero

*Please state how your organisation defines Knowledge Exchange and/or Valorisation [or any other terminology you use]*

The most frequently used concept is “transfer of knowledge” which refers to the transformation of scientific and technical knowledge into social welfare. This is a complex process, which needs the intervention of agents with different capacities and abilities. It is about “open innovation” conducted by different agents with new instruments, and it is about how to manage property rights and valorization of knowledge. The objectives of knowledge transfer are to:

- identify research groups and innovative technologies with a high potential of application in key sectors of the economy;
- develop systems of economic intelligence and competitiveness;
- define models for the protection of knowledge and research results, which ease their transmission and use;
- establish efficient mechanisms for technology transfer and commercialization;
- promote exchange between R&D centers, researchers and enterprises, the mobility of researchers, and public-private collaboration

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MINECO created in 2001 the Spanish Foundation for Science and Technology (FECYT) with the aim to disseminate the results of scientific research, and to increase the scientific, technological and innovation culture of the Spanish society. In addition, FECYT aims to disseminate, to promote social participation in scientific research, and to support the internationalization of Spanish science. In 2014, FECYT conducted the following activities, amongst others (see 2014 report, on English, p. 75 following, [www.fecyt.es/es/publicacion/memoria-de-actividades-fecyt-2014](http://www.fecyt.es/es/publicacion/memoria-de-actividades-fecyt-2014)):

1. Call for projects promoting scientific and innovation culture. Three types of actions can receive funding: First, dissemination of research activities to a non-academic public; second, promotion of scientific talent among scholars and youth; and third, networks of communication of science and innovation, including Scientific Culture Units and musea. In 2014, 3,2 Mio € were invested into 208 projects. One example is the Spanish version of Famelab, see the 2014 winner at: <https://www.youtube.com/watch?v=9sHrNzjE42c>.
2. A television programme on science in a humoristic and easy going mode: <http://www.rtve.es/alacarta/videos/orbita-laika/>.
3. A news agency for the diffusion of scientific in media by thematic areas, which offers a newsletter ([www.agenciasinc.es/](http://www.agenciasinc.es/)). This agency was created in 2010 and is similar to "Eurekalert". For instance presenting interesting researchers and research on philosophy, like this researcher reflecting on how to think better: <http://www.agenciasinc.es/Entrevistas/Si-hubiera-espanoles-candidatos-a-un-Nobel-el-interes-mediatico-aumentaria>

*Please list any mechanisms/approaches to evaluate or measure the wider impact of Humanities research, i.e. outside Academia.*

Every research project funded by MINECO has to report on the activities of collaboration with enterprises and other stakeholders and on activities of dissemination (academic publications, conferences, mass media, and training of PhD students). However, this information is not analysed and collected as a whole. Results of research projects are disseminated to a non-academic public through the news agency of SINC, which has a special channel on Humanities: <http://www.agenciasinc.es/Humanidades>.

## National Research Agency (Agence Nationale de la Recherche, ANR), France

Provided by Pierre-Olivier Pin, B. Virlon and Maëlle Sergheraert

*Please state how your organisation defines Knowledge Exchange and/or Valorisation [or any other terminology you use]*

There are no strict and official definitions of *knowledge exchange* or *valorisation* at ANR.

“Valorisation” appears in ANR processes and documentation but the term can be used differently according to the scientific area and the final use. There is no direct translation of “knowledge exchange” in the ANR vocabulary. However, several close or connected notions are used and play a role in various processes (dissemination, knowledge transfer, global impact, “actions for technical and scientific culture”, “actions for higher education”, ...).

Concretely, *Knowledge exchange* can be promoted and organized:

- from the very preparation and writing of the calls. ANR can be considered as a junction between different stakeholders (such as ministries, research organizations, private companies) who are involved in the strategic research orientation. A lot of knowledge and information are exchanged then. The needs of various stakeholders are taken into account at this stage.
- During and at the end of the funded projects. ANR organizes seminars with the scientific communities and other interested actors to present and discuss the results of the funded projects.
- ANR is also engaged in developing an open access strategy to enable a better circulation of the projects’ outcomes towards any interested actors (researchers, decision makers, general public)

In natural sciences, *valorisation* is generally understood as the process enabling the translation of the results of basic research into real and concrete applications (for health, the environment, the industry...). It can be measured for example by patents filing, licences and all the data on intellectual property. In France, specific structures have been created to facilitate this creation of (economic) “value” based on the results of research and the transfer of knowledge from academics to private companies and the economic sector<sup>1</sup>. In the area of Social sciences and humanities, this notion can cover multiple other aspects, beyond market value.

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<sup>1</sup> For example the SATTs (*Sociétés d’accélération du transfert de technologies*)



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1/ Various public and private stakeholders are involved in the framing of the ANR calls for proposals, in order to ensure that scientific results are connected to the needs of society from the start. Among other means, stakeholders are represented in thematic “alliances”, which are responsible for issuing strategic orientations for ANR. Cofunding is also sometimes organized with stakeholders that have an interest in funding the more applied part of research projects (example: the National pension fund).

2/ the guidance of ANR calls recommend that all applications take steps to engage with the wider audience and disseminate their results beyond academia and experts in the field. Up to 10% of the funding can be requested for this.

3/ the guidance of ANR calls recommend that all applications take steps to connect with higher education programmes, so that the latter can benefit from it. Up to 10% of the funding can be requested for this.

4/ Global impact is an official assessment criterion of all ANR applications and has a dedicated section in the ANR evaluation forms. Global impact encompasses scientific impact, valorisation defined as steps taken to give market value to scientific outputs (patents...), as well as wider societal impact (for public policies, health, education, wellbeing...).

5/ ANR organizes end of programmes thematic conferences that systematically try to attract and/or incorporate actors beyond academia and end users in the discussion of the results. One example in SSH is a partnership built with the Avignon theatre festival, where the approaches and results of projects funded by ANR on creation (in particular theatrical and literary creation) meet in various ways with practitioners of theatre or theatrical practices. Of course, from the start, projects were invited to engage with practitioners and/or end users.

6/ ANR having a mandate to foster and fund public/private partnership, special programmes have been run to specifically support applied research, in particular to connect public research and SME's.

7/ ANR communicates with the wider public around flagship projects through its website and annual report.

*Please list any mechanisms/approaches to evaluate or measure the wider impact of Humanities research, i.e. outside Academia.*

ANR collects end of award reports for all grants. One of the chapters is dedicated to impact. Academic publications are of course, among the indicators, but any type of outputs and/or dissemination actions can also be reported and counted in a table.

## National Science Centre (Narodowe Centrum Nauki, NCN), Poland

Provided by Malwina Gębalska

*Please state how your organisation defines Knowledge Exchange and/or Valorisation [or any other terminology you use]*

One of NCN priorities is to promote our calls for proposals (which also means – disseminate information on NCN-funded project results). NCN is a young (4-year-old) organisation and there is no clear strategy concerning knowledge exchange or valorisation or knowledge transfer. However, after the first phase of NCN activity.

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The NCN does not have any special programmes dedicated to knowledge exchange activities. However, NCN applicants in their applications should provide their research project description addressed to a lay audience.

In September 2015 we implement a new funding schemes (Polonez) addressed to incoming researchers who want to do research in Polish host institutions. Polonez grantees will be obliged to popularise results of their research activities among lay audience (e.g. organise lectures or seminars addressed to high school students or undergraduate students, prepare articles about their research targeted at the wider public, etc.).

## Netherlands Organisation for Scientific Research (Nederlandse Organisatie voor Wetenschappelijk Onderzoek, NWO), The Netherlands

Provided by Saskia van de Mortel (programme officer Humanities) and Marja Berendsen (communication officer Social Sciences)

Organisation: <http://www.nwo.nl/en>

Social Sciences (<http://www.nwo.nl/en/about-nwo/organisation/nwo-divisions/magw>) Humanities (<http://www.nwo.nl/en/about-nwo/organisation/nwo-divisions/gw>)

*Please state how your organisation defines Knowledge Exchange and/or Valorisation [or any other terminology you use]*

Social Sciences and Humanities:

NWO is using the term 'knowledge utilisation'. We define knowledge utilisation as: a process promoting the use of the outcomes of scientific research both outside academia and by other academic disciplines. This process frequently requires interaction between the researcher and the potential knowledge user and such interaction may occur at any stage of the research, from the formulation of the research question right through to the dissemination of the results. It is not a linear process but a continuous exchange between research and practice. Utilisation does not necessarily have to be obtained or realised by the researchers concerned. It is not a measure of the scientific quality or scientific importance of the research project.

In 2012 the decision was taken to make knowledge utilisation part of the assessment procedure. Since then it is obligatory for applicants to describe in their proposal how their research could contribute to society and to the economy. NWO asks for ideas and plans for sharing the research results outside the scientific community, even if a concrete use is not conceivable or feasible in the near future.

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Together with societal and private partners, NWO develops thematic programmes addressing research questions that contribute to solutions to social, cultural, economic and technological issues. Thematic programmes are organised for public-private or public-public partnerships in which consortia of academics and public and/or private partners co-create and co-finance the research and implementation of the results. Some examples of thematic programs with PPS:

- Humanities, Responsible Innovation (<http://www.nwo.nl/en/research-and-results/programmes/responsible+innovation>)
- Social Sciences, Smart Urban Regions for the Future (<http://www.nwo.nl/en/funding/our-funding-instruments/magw/smart-urban-regions-of-the-future-surf/smart-urban-regions-of-the-future-surf.html>)
- Social Sciences, Sustainable logistics (<http://www.nwo.nl/en/research-and-results/programmes/Sustainable+Logistics>)

When project are started:

- Together with the principal investigators NWO designs a plan how to facilitate and coordinate the valorisation during the programme
- In several programmes we appoint a valorisation officer who works closely together with the programme officer of NWO
- Together with the project teams NWO organises several meetings to exchange knowledge and experience.

Furthermore, NWO contributes 275 million euro annually to the so called economic top sectors, identified by the Dutch government to strengthen Dutch economy. More than 100 million euro is invested in the context of public-private partnership (PPP) in which scientists and businesses set up and finance research projects together. NWO selects the research projects to be funded via the system of competition and according to NWO's customary quality standards. Since the sectors research themes like logistics, creative industries, energy and chemical industries are relevant to society, knowledge utilisation is an important focus within the top sectors.

A special program is 'Take-off' (<http://www.nwo.nl/en/research-and-results/programmes/Take-off>), focusing on facilitating and encouraging commercial and entrepreneurial activities initiated at Dutch universities and research institutes. It concerns the creation of innovative new commercial activities that emerge from knowledge development and utilisation by academic entrepreneurs. Last year eight SSH projects for feasibility studies received funding. <http://www.nwo.nl/en/funding/our-funding-instruments/nwo/take-off/take-off.html>

For researchers in the Humanities 'Added Value through Humanities' is available (<http://www.nwo.nl/en/funding/our-funding-instruments/gw/added-value-through-humanities/added-value-through-humanities.html>). This is a small grant (€15.000) aimed at encouraging researchers to set up public-private partnerships. Public and/or private partners contribute co-funding. In the past NWO also funded projects aimed at disseminating research results together with societal partners.

Besides these funding schemes and programmes, NWO also invests in promoting knowledge utilisation and informing researchers and public and private partners about it. The information is

made available on the website of NWO, for instance via manuals, best practices and interviews. See for Social Sciences <http://www.nwo.nl/en/about-nwo/organisation/nwo-divisions/magw/knowledge+utilisation> and for Humanities <http://www.nwo.nl/en/about-nwo/organisation/nwo-divisions/gw/knowledge+utilisation>

*Please list any mechanisms/approaches to evaluate or measure the wider impact of Humanities research, i.e. outside Academia.*

In the Netherlands, several organisations discuss about and offer guidelines for the evaluation or measurement of the wider impact of humanities and social sciences.

The Rathenau Institute runs several projects: <http://www.rathenau.nl/en/themes/theme/the-value-of-science.html>

Also, the Centre for Science and Technology Studies (CWTS) has valuable information about societal impact of research in the Netherlands : <http://www.cwts.nl/Societal-Impact-of-Research>

More attempts to design mechanisms to evaluate research, including societal impact have been made by the KNAW (Royal Netherlands Academy of Arts and Science):

Quality Indicators for the Humanities: [https://www.knaw.nl/en/advisory-work/advisory-reports-and-foresight-studies/recent-afgeronde-adviezen/kwaliteitsindicatoren-geesteswetenschappen?set\\_language=en](https://www.knaw.nl/en/advisory-work/advisory-reports-and-foresight-studies/recent-afgeronde-adviezen/kwaliteitsindicatoren-geesteswetenschappen?set_language=en)

Within NWO we have made attempts to evaluate the societal impact of our research programmes, based on several of these mechanisms.

## Research Council of Lithuania (Lietuvos Mokslo Taryba, RCL), Lithuania

Provided by Giedrė Kojelytė and Jurgita Staniškytė

*Please state how your organisation defines Knowledge Exchange and/or Valorisation [or any other terminology you use]*

The Research Council of Lithuania (RCL) is a key player in a complex and multi-faceted national landscape of research and higher education with three major roles: a research funding; a policy advisory and an emerging role in evaluation of research<sup>2</sup>. In general the concept of *Knowledge Exchange* is understood as an exchange of knowledge between academia and wider society (business, communities, industries, etc.) as well as various forms of external engagement of researchers, whereas *Knowledge Valorisation* is seen as application of the new knowledge created by research in a commercial setting – the more widely used term would be *Commercialisation of Knowledge*.

As indicated in “Organisational Evaluation of the Research Council of Lithuania”, since the RCL focuses on supporting fundamental research, innovation and business-oriented research have been generally considered to be outside its scope<sup>3</sup>. However, as of 2012 RCL launched two pilot calls: one aimed at technology development projects that would encourage collaboration between business and research and another (in 2013) – cultural development programme (*Programme of culture development through scientific and art research*) that would attract projects dealing with artistic research and in general would trigger the collaboration between art, research, industries and society.

Knowledge Exchange might also be understood as dissemination of information, data, research results, etc. through scientific publications, seminars, conferences and visits (researchers’ mobility).

There are special funding instruments provided by the RCL for this kind of activities as well. E. g. Dissemination Projects funding activities of researchers to introduce/spread/publish the results of scientific research; short-term visits to participate in the process of doctoral studies as well as international scientific events or research institutions abroad; support for publication of scientific articles, etc.

The aim of the workshop is to share best practice. Please list any activities, initiatives and programmes developed in your organisation to promote or implement Knowledge Exchange and/or Valorisation that are particularly successful. Please provide a short description for each of them and a web link if available.

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<sup>2</sup> *Organisational Evaluation of the Research Council of Lithuania. Evaluation Report*, European Science Foundation, 2014, p. 21.

<sup>3</sup> *Ibid*, p. 17.

Dissemination and knowledge exchange activities are incorporated in almost all RCL research funding programmes to provide researchers with the instruments to promote ongoing research and activities.

A lot of projects are funded through the National Lithuanian studies development programme (2009-2015). As the title suggests, this Programme deals with Lithuanistics specifically, focused on research in different fields of Lithuanian studies, dissemination of the results of such research and enhancement of researcher qualification, development and monitoring of digital information resources in Lithuanian studies, national and international dissemination of studies of Lithuanian philology, promotion of international relations and international recognition as well as publishing of works in Lithuanian philology. A part of the Programme is dedicated for Dissemination Projects to fund disseminating and organising activities of researchers to introduce/spread/publish the results of their research or texts which are significant for Lithuanian studies development.

In 2013 the RCL launched cultural development programme (*Programme of culture development through scientific and art research*) which aimed at projects dealing with artistic research that would trigger the collaboration between art, research, industries and society. 14 projects combining art, humanities, biomedicine, social and technological sciences were supported in the framework of this programme. Many were evaluated by the experts as highly successful.

The Council is also overseeing a development of "Lituanistika" database, which contains more than 40 thousand Lithuanian scientific papers on the subject, many available in full-text.  
<http://www.lituanistikadb.lt/lt/pradzia.html>

In addition to large scale programmes, the RCL has designed a variety of smaller successful instruments in order to facilitate knowledge exchange: Postdoctoral Fellowship project (ES structural funds); support for research visits, academic publications and promoting students' research activities.

*Please list any mechanisms/approaches to evaluate or measure the wider impact of Humanities research, i.e. outside Academia.*

Impact assessment of Humanities research should be based on broader understanding of scientific, societal, cultural and economic impact. As a partial indicator the output of Lithuanian researchers in international and national scientific journals can be (and is) applied together with the numbers of articles in other journals, monographs, reviews, conference papers, etc. The bibliometric data is also supplemented with other evaluation mechanisms (expert evaluation, peer reviews, etc.).

## Research Council of Norway (Norges Forskningsråd, RCN), Norway

Provided by Gunnlaug Daugstad

*Please state how your organisation defines Knowledge Exchange and/or Valorisation [or any other terminology you use]*

The Research Council of Norway is a national strategic and funding agency for research activities, and a chief source of advice on and input into research policy for the Norwegian Government, the central government administration and the overall research community.

The Research Council provides a central meeting place for researchers, users of research and research funders and actively promotes the internationalisation of Norwegian research.

A strategy for innovation: RCN promote a new focus on innovation in public sector. Research may play various roles in innovation processes. In research-based innovation, research and research institutions play a critical role in innovation, and the research results comprise the basis for or help to enhance the quality of changes in the field of practice. In innovation with researcher participation, researchers contribute to innovation processes by acquiring and quality assuring external knowledge and ideas, solving problems and supporting decisions, documenting impacts and risks, disseminating knowledge, and utilising international networks and expertise to bring about change.

General requirements for two different application types:

[http://www.forskningsradet.no/en/Innovation\\_Project\\_for\\_the\\_Public\\_Sector/1253963988194](http://www.forskningsradet.no/en/Innovation_Project_for_the_Public_Sector/1253963988194)

[http://www.forskningsradet.no/en/Knowledgebuilding\\_project\\_for\\_industry/1253963988225](http://www.forskningsradet.no/en/Knowledgebuilding_project_for_industry/1253963988225)

For the last sample, please see an active call for Knowledgebuilding projects:

<http://www.forskningsradet.no/en/Funding/VAM/1254009455152/p1184150364108?proglid=1231248737688&visAktive=true>

Research is disseminated in different forms: Scientific dissemination; User-oriented dissemination; Public-oriented dissemination. See different websites:

[http://www.forskningsradet.no/prognett-finnut/Home\\_page/1253990820560](http://www.forskningsradet.no/prognett-finnut/Home_page/1253990820560)

[http://www.forskningsradet.no/prognett-vam/Home\\_page/1232443453131](http://www.forskningsradet.no/prognett-vam/Home_page/1232443453131)



## **Slovenian Research Agency (Javna agencija za raziskovalno dejavnost Republike Slovenije, ARRS, Slovenia)**

**Provided by Dr. Marko Perdih and Tina Vuga**

*Please state how your organisation defines Knowledge Exchange and/or Valorisation [or any other terminology you use]*

The national normative documents use term transfer of knowledge and define it in a very broad sense, pointing to the research and innovation system as an enabling system that can have effect on the increasing social inclusion and sustainable way of living by developing and employing new knowledge in the society. Special attention shall be given to technology transfer who holds the largest potential for initiating new hi-tech companies. Transfer of non-technological knowledge holds the potential for society to become more interconnected, healthy and creative, cumulating to a better quality of life for everyone ([Resolution on Research and Innovation Strategy 2011-2020](#), in Slovene only). The Research and Innovation Strategy 2011-2020 lists specific measures to be implemented in the period to 2020 in the field of knowledge transfer: i) creating the enabling environment that will spur effective transfer of knowledge, ii) establishing the effective system of IPR protection, iii) fostering the culture of patenting along with established well-thought patent policy, iv) redefine transfer of knowledge as one of the key missions for public research organisations and v) developing mutual trust and interaction among all relevant stakeholders.

*The aim of the workshop is to share best practice. Please list any activities, initiatives and programmes developed in your organisation to promote or implement Knowledge Exchange and/or Valorisation that are particularly successful. Please provide a short description for each of them and a web link if available.*

### **Excellent in Science - a series of yearly events organized by the Slovenian Research Agency**

**Excellent in Science** is a series of yearly events organized by the Slovenian Research Agency (ARRS). The purpose of events is to present the most important scientific achievements of the past year. Selection of the achievements is made by the ARRS's Scientific Councils, each covering one of the scientific areas: natural sciences, technical sciences, medical sciences, biotechnical sciences, social sciences, humanities and interdisciplinary research. Each year the ARRS issues the [publication](#) of in English and Slovene.

Excellent in Science is one of the projects conducted by the Agency in the field of the promotion of science. Their aim is to present scientific results to the wider scientific community and to the general public. The main purpose of this action is also to enhance connection between the needs of society and possible solutions offered by science. Special emphasis is put on networking between the scientific and business sector. In this respect we have last year joined forces with the largest national event on innovation – [Slovenian Forum of Innovation](#) organized by another national agency – [SPIRIT Slovenia](#) (Public Agency of the Republic of Slovenia for the Promotion of Entrepreneurship, Innovation, Development, Investment and Tourism) and all-European event on the popularization of science – the Researchers' Night (<http://www.zaznanost.si/#> - in Slovene only).

Events are open for public, taking into account the importance of general enrichment of knowledge. Lectures given by holders of achievements are available at the VideoLectures.NET platform (<http://videolectures.net/odlicnivznanosti2013/>) a Slovenian award-winning free and open access educational video lectures repository. The events are becoming an increasing coverage in national media each year.

*Please list any mechanisms/approaches to evaluate or measure the wider impact of Humanities research, i.e. outside Academia.*

The ARRS in general monitors the results and impacts of funded research through reporting of funded programmes and projects. It is obligatory for grant holders to report annually and after completion of the grant on the following components: a) significance for science, b) significance for Slovenia and i) most important scientific results, ii) most important socio-economic and culture relevant results. These shall be chosen from the [Nomenclature of Research Results and Impacts](#) published at the ARRS website.

Specifically for SSH, the section G.04 defines impacts of so called *social development* that consist of: 1) increase in the quality of life, 2) improving the management, 3) improving the work of administrative staff and civil servants, 4) development of social activities, 5) development of civil society and other.

All the results and impacts reported by grant holders are publicly published in the national information system – [SICRIS](#) where one can at any time access these gathered data.

Each year the ARRS's Scientific Councils choose the most important scientific achievements for the Excellent in Science events from the above mentioned reports.

## Social Sciences and Humanities Research Council of Canada (SSHRC), Canada

Provided by Ursula Gobel

*Please state how your organisation defines Knowledge Exchange and/or Valorisation [or any other terminology you use]*

“Knowledge mobilization” is the terminology SSHRC uses for knowledge exchange.

Knowledge mobilization (KMb) is an umbrella term that embraces the wide range of activities relating to the production and use of research results including: synthesis, dissemination, transfer, exchange, and the co-creation of knowledge by researchers and knowledge users. More specifically, KMb is the reciprocal flow and uptake of research knowledge between researchers, knowledge brokers and users (both within and beyond academia) that benefits users, and creates positive impacts both in Canada and abroad. They ultimately enhance the quality and reach of social sciences and humanities research and they contribute to one -or more- of the following, as appropriate:

- informing, advancing or improving research agendas, theory, methods, public debate, policies, practices and social services;
- informing the decisions / processes of people in business, government, the media, practitioner communities, and civil society; and
- contributing to innovation by way of developing new ideas (or the use of existing ideas) to find solutions to society’s challenges.

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Most of SSHRC’s grant applications contain a mandatory knowledge mobilization module. The KMb module provides an opportunity for the applicant to provide a compelling rationale to convince merit reviewers that s/he is addressing the appropriate target audiences and that the overall reach of the project is both sufficient and appropriate to their proposal. The KMb plan is evaluated in relation to the other parts of the proposal, particularly when assessing the feasibility of the overall project and the potential for impact within and beyond the social sciences.

SSHRC has several funding opportunities with a specific focus on knowledge exchange and co-production of research:

- **[Connection Grants](#)** aim to support knowledge mobilization activities—such as networking, disseminating, exchanging and co-creating research-based knowledge—as an important element of publicly engaged scholarship, and as a means of strengthening research agendas. These grants support workshops, colloquiums, conferences, forums, summer institutes or other events or outreach activities geared toward short-term, targeted knowledge mobilization initiatives, and are typically valued at \$7,000 to \$50,000 over one year, with higher amounts considered on an exceptional basis.
- **[Partnership Grants](#)** provide support to new or existing formal partnerships (between researchers, businesses, NGOs or other organizations) for initiatives that advance research, research training and/or knowledge mobilization in the social sciences and humanities through mutual co-operation and sharing of intellectual leadership, as well as through resources as evidenced by cash and/or in-kind contributions. These grants are typically valued at \$500,000 to \$2.5 million over four to seven years. SSHRC provides an online [tool-kit](#) to assist researchers and partners at various stages of the Partnerships processes - from application preparation through to knowledge mobilization activities.
- **[Partnership Development Grants](#)** provide support to foster new research and/or related activities with new and/or existing partners, and to design and test new partnership approaches for research and/or related activities. These grants are valued at \$75,000 to \$200,000 over one to three years.
- **[The Community and College Social Innovation Fund](#)** (CCSIF) is a pilot initiative that connects the talent, facilities and capabilities of Canada's colleges and polytechnics with the research needs of local community organizations. It aims to enable colleges to increase their capacity to work with communities, with the goal of developing partnerships that foster social innovation in areas such as education, integration of vulnerable populations, and community development. CCSIF grants are valued up to \$200,000 over one to three years.
- **[Knowledge Synthesis Grants](#)** seek to foster a deeper understanding of the state of knowledge, research gaps and promising policies and practices within particular research themes. Candidates submit a KMB plan regarding their engagement with academic, private and public policy sectors as part of their application, a key focus of this grant. SSHRC is launching KSGs on each of the six [future challenge areas](#) under its [Imagining Canada's Future initiative](#). They are valued up to \$25,000 over one year.

In addition to funding opportunities, SSHRC's annual [Storytellers contest](#) challenges postsecondary students to demonstrate—in three minutes or 300 words—how SSHRC-funded research is making a difference in the lives of Canadians. Each year, 25 finalists compete to be selected as the five winning students. The students address a range of issues in their presentations—from water security and immigration, to social justice, education and food security—and highlight how knowledge from the social sciences and humanities helps Canadians understand and improve the world around us.

*Please list any mechanisms/approaches to evaluate or measure the wider impact of Humanities research, i.e. outside Academia.*

Most of SSHRC's grant applications include a mandatory "Expected Outcomes" (EO) module. The EO module provides an opportunity for the applicant to outline the outputs, outcomes, and impacts of the research project. In this section, the applicant should present plans and/or indicators of success. For example, by the end of year one, the researcher may have had ten meetings with key stakeholders and/or presented at three conferences. The EO is evaluated in relation to the other parts of the proposal.

In addition, in 2013 SSHRC conducted an evaluation of four former KMB funding opportunities available between 2004/05 and 2011/12. The report (Evaluation of SSHRC's Knowledge Mobilization Funding Opportunities) is [available here](#).

#### **Websites of Interest – Knowledge Mobilization in Canada:**

Canadian universities are also actively pursuing knowledge mobilization initiatives, for example:

- [Research Impact](#) is a pan-Canadian network of 11 universities committed to maximizing the impact of academic research for the social, economic, environmental and health benefits of Canadians. RIR is committed to developing institutional capacities to support knowledge mobilization by developing and sharing knowledge mobilization best practices, services and tools.
- [Yaffle](#) is a user-driven community that connects the innovators of Newfoundland and Labrador with the knowledge and expertise of Memorial University.

## Swiss National Science Foundation (SNSF), Switzerland

Provided by Ingrid Kissling-Näf and Claudia Zingerli

*Please state how your organisation defines Knowledge Exchange and/or Valorisation [or any other terminology you use]*

The SNSF consequently uses the term Knowledge Transfer and Science Communication for knowledge exchange and valorisation activities. It emphasises Knowledge Transfer and Innovation prominently in its Action Plan 2013-2016 ([PDF](#)) and as one of four priority targets in its recently published Multi-Year Programme 2017-2020 ([PDF](#)). Researchers have to adhere to the SNSF regulations on information, valorisation and rights to research results ([PDF](#)).

In the field of Knowledge and Technology Transfer (KTT) the SNSF supports the transfer of research findings into the practical realm by funding **use-inspired basic research** carried out as part of the National Centres of Competence in Research (**NCCRs**) and National Research Programmes (**NRPs**) and through close collaboration with the Commission for Technology and Innovation (**CTI**). “**Head-to-head**” transfer plays an important role: most of the funds invested by the SNSF into projects and fellowships serve to train young researchers who are to a great extent recruited by the private economy.

In the field of science communication the SNSF supports the trend towards **open access** by grants for publications in pure open-access journals. For scientific progress it is just as important that the **primary data** obtained in the course of research projects be available for other such projects. Through the **research database P3** (<http://p3.snf.ch/>) the SNSF provides every funded project with a publicly accessible platform displaying new publications, knowledge transfer events, public communication activities and other project outputs. The SNSF encourages researchers to present their projects and findings and to engage in exchanges with the public. Since 2012 the SNSF funding scheme **Agora** has been supporting researchers wishing to enter into dialogue with the public about their scientific work and its significance to society. In its research magazine, **Horizons**, the SNSF reports about the findings of scientific projects funded by it, and about the minds behind them. In addition to targeted communication with researchers, a further objective of the SNSF’s **website** is to use accessible examples to inform the wider public about research and its (potential) effects, and in this way to work towards a better understanding of basic research.

In its new Multi-Year Programme 2017-2020 the SNSF emphasizes the following aims and measures:

**Aims and measures for priority target contribution to knowledge transfer and innovation**

- Monitor and continually improve support for use-inspired basic research.
- Bridge - joint programme with the Commission for Technology and Innovation (CTI).
- Continue Agora funding scheme for motivating researchers to intensify their science communication.

*The aim of the workshop is to share best practice. Please list any activities, initiatives and programmes developed in your organisation to promote or implement Knowledge Exchange and/or Valorisation that are particularly successful. Please provide a short description for each of them and a web link if available.*

In the funding instruments of the **NRPs** and the **NCCRs** the activities of knowledge transfer and the communication of results follow bespoke concepts of knowledge transfer elaborated in each individual NRP and NCCR. Personnel and activities in knowledge and technology transfer are specifically funded. The evaluation of impacts of NRPs goes back to the 1980s and have been carried out three times until 2007 (download of [report 2007](#) (in German and French)). A new impact evaluation for NRP is currently being prepared. The brochure 2015 (p. 6) summarises the impacts of NCCRs ([PDF](#)).

For dialogues with the society the SNSF supports the following schemes:

**Agora:** The Agora scheme aims to promote the spread of knowledge, as well as the exchange of views and perspectives about scientific research. It therefore encourages projects involving two-way processes - with interaction and listening - which generate dialogues between researchers and the public. Grants of between CHF 5,000 and CHF 200,000 are awarded for both small communication formats and large-scale initiatives with more far-reaching goals. Diverse activities are supported, for example: discussions and debates, hands-on workshops, multimedia projects, serious games, theatre and performances, interactive exhibitions, education projects with schools, etc. More information on [Agora](#).

**Media training:** Media training courses are aimed at interested researchers in Switzerland who would like to improve their skills in dealing with the media. The SNSF supports these communication courses in partnership with the Commission for Technology and Innovation (CTI), the Gebert R f Stiftung and the Mercator Foundation Switzerland. More information on [Media training](#).

**Writing workshops:** Academic researchers need to master the craft of writing non-scientific texts for a large number of purposes, such as adapting a research topic for the general public, preparing content for a website or writing press releases. The two-day writing workshops offer young researchers the opportunity to practise their writing skills by doing different writing exercises based on the journalistic principles. This experience will enable them to communicate more effectively with journalists and the general public. More information on [Writing workshops](#).

Through the **research database P3 “people, projects, publications”** the SNSF provides every funded project a publicly accessible platform displaying new publications, knowledge transfer events, public communication activities and other project outputs. The data science team of the SNSF is currently developing visualisations of the output data. More information on the [research database P3](#).



## University of Tartu, Estonia

Provided by Tiiu Paas

*Please state how your organisation defines Knowledge Exchange and/or Valorisation [or any other terminology you use]*

*Knowledge Exchange* is related at least to three concepts: *knowledge transfer*, *research commercialisation* and *valorisation*. *Knowledge transfer* encompasses a broad range of activities to support collaborations between universities, businesses, public sector and society; between academia and non-academic community and between individuals. *Research commercialisation* encompasses transformation of research results to the business and public sectors and society. Successful commercialisation process enhances university's and target group's interest and becomes profitable to all stakeholders. Commercialisation helps universities to benefit financially. The role of successful research commercialisation is increasing taking into account that financing the University is heavily related to the project based activities and the competitive position in attracting finances outside academia. Research commercialisation also requires proper decisions for intellectual property (IP) protection. *Valorisation* is a process that exploits knowledge transfer and commercialisation outcome for creating new values and possible positive impacts on society and several target groups including training institutions, companies, public sector etc.

*The aim of the workshop is to share best practice. Please list any activities, initiatives and programmes developed in your organisation to promote or implement Knowledge Exchange and/or Valorisation that are particularly successful. Please provide a short description for each of them and a web link if available.*

### One Estonian case

The Research and Innovation Policy Monitoring Programme (TIPS Programme) has been commissioned by the Estonian Ministry of Education and Research. It fosters cooperation between government offices, universities (University of Tartu and Tallinn University of Technology) and the private sector and increases the role of science and research as a supporter of the Estonian economy. The programme provides high quality research competencies for policymaking and strategic development of Estonian research, development and innovation (RDI) policy. The research activities of the programme lead to policy recommendations for implementation of the current Estonian Research and Development strategy as well as for designing and development of future strategies and relevant policy measures. The implementation and development of the program is financed by the European Social Foundation (85%), by national structural funds (10%) and own financing from the University of Tartu and Tallinn University of Technology (5%). The programme activities are grouped into seven Work Packages (WP):

- Intellectual property rights in research and development;
- Public funding of research activities in Estonia;
- Leadership and management models of Estonian research and development institutions;
- Management of cooperation between higher education institutions and industry;
- Complex analysis of research, development and innovation policy;
- Internationalisation of research, development and innovation activities;
- Designing the Estonian research, development and innovation strategy for 2014-2020.

The aim of dissemination activities of the program results is to promote the overall research policy discussion and engage various parties of society, which will be achieved by organising workshops, conferences and public debates in Estonia. More information about the research results, publications and several dissemination activities from the web: <http://www.tips.ut.ee/eng?/>

*Please list any mechanisms/approaches to evaluate or measure the wider impact of Humanities research, i.e. outside Academia.*

Additionally to traditional bibliometrics and scientometrics methods, the evaluation of research results relies on the implementation and measuring of the valorisation process outcome. E.g. the Estonian Research Portal (<https://www.etis.ee/index.aspx?lang=en>) includes information about several groups of publications, supervising, patents, projects, cooperation between universities and industries, etc. The evaluation and promotion of an academic career relies on several criteria including also possibilities to assess wider impact on society.