

## Case studies: evidence of impact

67. Each case study must include evidence appropriate to the type(s) of impact that supports the claims, including who or what has benefitted, been influenced or acted upon. Relevant indicators of the extent of the impact, in terms of its reach and significance, should also be included. Evidence and indicators may take many different forms depending on the type of impact.

68. The sub-panels within Main Panel A recommend that institutions refer to the following list of characteristics when preparing case studies:

- All the material required to make a judgment should be included – no further reading should be required.
- There should be a clear definition of who the non-academic beneficiaries were, or what had changed as a result of the research.
- The narrative should be coherent, clearly explaining the relationship between the research and the impact, and the nature of the changes or benefits arising.
- Indicators used should be meaningful, contextualised and precise in support of the case study, and the evidence should be focused and concise.
- Supporting evidence and claims should be capable of verification.
- There should be a brief explanation of what is original or distinctive about the research insights that contributed to the impact.
- The case study should include details of the names of researchers, their position in the institution, and the dates and locations of the research activity.
- Specific and appropriate independent sources of corroborating information should be supplied.
- Where the research was carried out in collaboration with other institutions, or was part of a wider body of research, this should be acknowledged and the specific input of the submitting unit's research clearly stated.
- For case studies claiming impact from public engagement:
  - There must be a clear link between the research and the engagement or involvement activity (see 'guidance on submissions' paragraph 161c).

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

69. The list of examples in Table A2 provides a guide to potential evidence or indicators that may be most relevant to the type of impact claimed; however, it is not intended to be exhaustive or rank any indicators in any way. Some indicators may be relevant to more than one type of impact.

70. The main panel will consider any appropriate evidence that is verifiable. Wherever possible, quantitative indicators should be included. Verifiable sources for key evidence and indicators should be provided in section 5 of the impact case study template, and must be available on request. The main panel does not welcome testimonials offering individuals' opinions as evidence of impact; however, factual statements from external, non-academic organisations would be acceptable as sources to corroborate claims made in a case study.

71. The main panel recognises that some evidence in case studies may be of a confidential or sensitive nature. The arrangements for submitting and assessing case studies that include such material are set out in Part 1, paragraphs 58-59.

72. Institutions may submit case studies that describe impacts at any stage of development or maturity. However, the assessment will be solely on the impact achieved during the assessment period, regardless of the stage of maturity. No account will be taken of anticipated or future potential impact.

**Table A2 Examples of evidence and indicators of impact<sup>3</sup>**

<p>Impacts on health and welfare</p>	<ul style="list-style-type: none"> <li>• Measures of improved clinical outcomes, public behaviour or health services (lives saved, reduced infection rates).</li> <li>• Measures of improved well-being.</li> <li>• Documented changes to clinical and public health guidelines (documented references to research evidence in guidelines).</li> <li>• Evidence from audit, change in guidelines.</li> <li>• Documented changes to animal welfare codes or guidelines.</li> <li>• Evidence of enhanced awareness of health risks and benefits by consumers.</li> <li>• Evidence of enhancement of patient experience.</li> </ul>
<p>Impacts on society, culture and creativity</p>	<ul style="list-style-type: none"> <li>• Documented evidence that public understanding has been enhanced through active collaborative involvement in research.</li> <li>• Critical reviews in the media.</li> <li>• Evidence of public debate.</li> <li>• Documented evidence of changes to social policy.</li> <li>• Measures of improved social equality, welfare or inclusion.</li> <li>• Increased public uptake of scientific training, through public engagement.</li> <li>• Documented shift in public attitude (for example, to sexual behaviour, or social factors in health).</li> </ul>
<p>Impacts on the economy</p>	<ul style="list-style-type: none"> <li>• Evidence of improved cost-effectiveness.</li> <li>• Evidence of service change.</li> </ul>
<p>Impacts on commerce</p>	<ul style="list-style-type: none"> <li>• Sales of new products/services.</li> <li>• Business performance measures (for example, turnover/profits, trends in key technical performance measures underlying economic performance).</li> <li>• Employment figures.</li> <li>• Licences awarded and brought to market; market authorisation.</li> <li>• Demonstrable collaborations with industry (including knowledge transfer partnerships, and contracts).</li> <li>• Commercial adoption of a new technology, process, knowledge or concept.</li> </ul>
<p>Impacts on public policy and services</p>	<ul style="list-style-type: none"> <li>• Documented evidence of policy debate (for example, at a parliamentary Select Committee, material produced by non-governmental organisations).</li> <li>• Documented evidence of changes to public policy/legislation/regulations/guidelines.</li> <li>• Measures of improved public services.</li> <li>• Documented evidence of influence on health policy and/or advisory committees.</li> <li>• Evidence of use of process/technology.</li> </ul>

<sup>3</sup> This is not an exhaustive or exclusive list. Other evidence or indicators related to the impact described may be included.

**Table A2 Examples of evidence and indicators of impact continued**

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Impacts on production	<ul style="list-style-type: none"><li>• A new product has been recommended for use or adopted.</li><li>• Development of a new plant variety or crop protection product which has entered the appropriate national or international regulatory testing system.</li><li>• Published rights for animals and plants.</li><li>• Evidence of improved sustainability.</li><li>• Documented changes to working guidelines.</li><li>• Documented evidence of improved working practices and/or level of production.</li></ul>
Impacts on practitioners and services	<ul style="list-style-type: none"><li>• Literature/web information from practitioners and advisers, including the research findings and how they are applied in practice.</li><li>• Evidence of adoption of best practice (for example, by educators or law enforcement personnel).</li></ul>
Impacts on the environment	<ul style="list-style-type: none"><li>• Sales of new products, or improvements in existing products, that bring quantifiable environmental benefits.</li><li>• Verifiable influence on particular projects or processes which bring environmental benefits.</li><li>• Evidence of generic environmental impact across a sector, confirmed by independent authoritative evidence.</li><li>• Traceable reference to inclusion of research into government policy papers, legislation and industry guidance.</li><li>• Traceable reference to the influence of research in planning decision outcomes.</li></ul>
Impacts on international development	<ul style="list-style-type: none"><li>• Documented evidence of changes to international development policies.</li><li>• Measures of improved international equality, food security, welfare or inclusion.</li><li>• Evidence of take-up and use of new or improved products and processes that improve quality of life or animal welfare in developing countries.</li></ul>

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