ESRC Research Performance and Economic Impact Report 2013/14
INTRODUCTION AND BACKGROUND

This report demonstrates the impact of the ESRC's investment, support for infrastructure and postgraduate training programme. The excellence of UK social science provides the foundation for high-quality knowledge exchange activity and growth in societal and economic impacts.

We deliberately define impact in a broad sense that includes conceptual \(^1\) and capacity-building \(^2\) impact as well as instrumental \(^3\) impact. We are committed to maximising the impact of all that we support and to ensuring research outcomes are accessible to research users and the public. We maximise impact, as brokers as well as by embedding knowledge exchange throughout our schemes and investments, and through Impact Acceleration Accounts.

We act as a broker to ensure that the academic community are engaged with the ways that social science can help meet the needs of government, business and the third sector, and have appropriate access to data generated by organisations and institutions. In addition, we support researchers by providing them with tools and resources to engage with user communities and increase the impact of their research. We, and the researchers we fund, recognise that partnership working in the UK and internationally, relationship building, and effective communication of research outcomes are all essential to maximising social science impact. The dividends from this commitment range across impacts on policy and practice, in local, national and international contexts and our success in leveraging co-funding.

In 2014, we recognised and rewarded impact achieved through the excellent research we support. Following the success of the inaugural Celebrating Impact Prize in 2013, our second event recognised and rewarded the successes of ESRC-funded researchers and their outstanding economic and/or societal impacts. The prizes celebrate excellent ESRC research and success in collaborative working, partnerships and engagement activities that have led to significant impact. Several of the prize winners feature in this report.

In line with the template provided by BIS for the reporting year 2013/14, this report includes data on particular aspects of our performance alongside a selection of illustrative examples of impact and impact-generating activities from ESRC-funded investments. All quantitative data are reported on an annual basis for the period 2011/12 to 2013/14 (where available).

\(^1\) Contributing to the understanding of policy issues, reframing debates.
\(^2\) Through technical and personal skill development.
\(^3\) Influencing the development of policy, practice or service provision, shaping legislation, altering behaviour.

Highlights

Particular highlights during 2013-14 are as follows:

- The ESRC Centre for Competitive Advantage in the Global Economy (CAGE) helped reverse the proposed policy to cap tax relief on charitable giving, preventing an estimated annual loss to the sector of £500M.
- ESRC Celebrating Impact Prize 2014 - Lifetime Achievement Award went to Professor Sir David Hendry, who developed macroeconomic models capturing how economies work, which are now embedded in software widely used by policymakers and decision-makers. He has used his models to contribute to work by HM Treasury and Ofcom in the UK as well as the International Monetary Fund.
- The ESRC Centre for Business Taxation has influenced UK and Eurasian policy on corporate taxation through the introduction of a General Anti-Avoidance Rule (GAAR) clause in the Finance Bill 2013.
- Our involvement in the What Works Network increased substantially during the year with research programmes established for Local Economic Growth and Crime Reduction in close co-operation with several government departments and the commissioning of a Centre to examine what works in public services reform in Scotland underway in association with the Scottish Government. We were an active player in the What Works Network and Advisory Council.
- The establishment of the Administrative Data Research Network (ADRN), a £42m UK-wide partnership between academia, government, national statistical authorities and the research community that will make it easier to carry out new research based on routinely collected government administrative data and investment that will put the UK at the forefront of innovative social and economic research so benefitting society and quality of life.
- £19M fund for Impact Acceleration Accounts at our top funded institutions, dedicated to agile investment in knowledge exchange (KE) activities to accelerate the impact of social science research from 2014-2018.
Impact through world-class research

Excellent research is a prerequisite for societal and economic impact. During 2013/14 we continued to invest in the best research while also facilitating the impact of our funded research on society and the economy. During 2013/14 we spent approximately £159 million (75%) of our gross budget on supporting research. Evidence from our evaluations demonstrates the consistently high quality and impact of our research, with 93 per cent of all projects graded as ‘good’, ‘very good’ or ‘outstanding’. The reputation and credibility of researchers is core to successful knowledge exchange activity. Our major research investments provided substantial advice to policy- and decision-makers on an average 34 occasions per investment in 2013/14 (see examples throughout this report).

The excellent standing of the UK social science community has enabled us to source additional capital funding, which has raised our funding baseline, and to leverage significant funds from external sources, e.g. we leveraged an additional £18M (8.5%) in 2013/14, as a component of our reported income. In addition, our major research investments have collectively brought in a further £23 million (about 11%) in additional grants from public, private and third sector funders in the same period; these funds were secured on the basis of our initial investment, but do not appear on our balance sheet.

We expect our Doctoral Training Centres (DTCs) to leverage funds in order to maximise the number of students supported through PhDs. In 2013/14, 170 (28 per cent) additional studentships were supported by external agencies.

Impact through knowledge exchange (KE)

Creating, supporting and promoting opportunities for KE is embedded across the full range of our activities. We have developed a deep understanding of the qualities of excellent KE through our impact evaluation programme and have used this in the development of our Impact Acceleration Accounts. Our approach to excellent KE is also well rooted in the management and commissioning of strategic and responsive awards and

Example 1: Model researcher’s lifetime of influencing the work of financial institutions
Professor Sir David Hendry was awarded the ESRC Celebrating Impact Prize 2014 Lifetime Achievement Award, based on long-term consistent research rather than a single grant or programme. Governments and other institutions need economic forecasting models to inform decision making. Over the past 45 years, Professor Hendry has developed economic modelling that captures the key features of a rapidly changing economic environment, and this has led to the automatic model selection programme - Autometrics. Professor Hendry’s models are used extensively in the UK and overseas and directly contribute to work by HM Treasury and Ofcom in the UK as well as the International Monetary Fund, and central banks including the US Federal Reserve and European Central Bank. The software has been commercialised through the PcGive and OxMetrics and taken-up by practitioners, and is being used to train the next generation of researchers.


Example 2: Putting food banks on the policy agenda
Hannah Lambie-Mumford’s ESRC-funded PhD research helped to raise issues concerning the underlying causes of food poverty in the UK. Her research on emergency food provision in the UK has provided policymakers, the charitable sector and media with thought-provoking evidence to inform the food poverty debate, and also stimulated debate on the practical ways such organisations can think and act around food poverty. Research evidence was given to a range of regional health committees, and her findings shaped the terms of reference for the April 2014 All-Party Parliamentary Inquiry into hunger and food poverty.

Our major investments are required to develop, review and improve their impact strategies with support from our investment managers and committee members. This portfolio of investments has produced a range of policy, practice and business impacts evident through our analysis of investment annual reports and evaluations. Improvements are marked this year in terms of the quantity and diversity of KE activities undertaken within this portfolio of awards. For example the number of events targeted at non-academic stakeholder audiences almost doubled this year.

In May 2014, we rolled out funding for Impact Acceleration Accounts (IAAs) to 24 of the Research Organisations receiving most of our research funding. IAAs provide dedicated funding to drive investment in KE activities to accelerate the impact of social science research. Providing funds in this way empowers institutions to make agile, strategic decisions and enables non-centralised decision-making and relationship-building. Better support for local and SME-focused activity can therefore be created. We expect to see both growth and diversification of the impact arising from social science research as a consequence of this funding.

Many researchers at ESRC’s Centres use diverse approaches to engage with, and exchange knowledge with stakeholders. Professor Scharf’s example reveals how this has made a difference to UK Tax policy and its implications for charitable donations (example 5).

Our Local Government Knowledge Navigator team was appointed in January 2013 and during the year, completed an extensive consultation with the sector about their research needs. This culminated in the production of an action plan to increase engagement between academic researchers and local government. The Navigator team piloted a novel method of summarising existing academic research into bite size chunks for local government officers and Councillors through a series of Need to Know Reviews, which

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**Example 3: High benefit, no cost: the case for tackling mental illness**

The NHS Improving Access to Psychological Therapies (IAPT) service, advocated by Professor Layard and his colleagues at the ESRC Centre for Economic Performance’s (CEP) Mental Health Policy Group, and launched in 2008, is now treating over 400,000 people a year. Mental illness is the biggest single cause of low wellbeing and misery in Britain, and improving access to treatment can have a significant impact on the recovery of patients. Evidence from CEP showed that half of all patients undergoing treatment will recover, and many who were previously unable to work are able to join the workforce, and suggests that a one-off cost of £650 for the psychological therapy, can potentially save the NHS up to £1,000 a year on physical healthcare.

[www.esrc.ac.uk/news-and-events/features-casestudies/features/32084/High_benefit_no_cost_the_case_for_tackling_mental_illness.aspx](www.esrc.ac.uk/news-and-events/features-casestudies/features/32084/High_benefit_no_cost_the_case_for_tackling_mental_illness.aspx)

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**Example 4: Helping small business grow**

ESRC funding of Lancaster University Management School’s innovative Leading Enterprise and Development (LEAD) programme has increased the productivity and sales of 250 local SMEs. LEAD is a leadership development programme for small business owner-managers, and has involved over 250 companies and more than 1700 delegates. Evaluation of the LEAD programme revealed that around half of the respondents surveyed indicated an increase in sales turnover since joining LEAD – a growth rate of 3.5 per cent a year in real terms, with the mean sales increases at about £360,000 a year, of which 37.5 per cent (£135,000) could be attributed to LEAD. Similarly, around half of the surveyed reported an increase in employment; the mean increase was 13 jobs, with less than half attributable to LEAD.

were made available to public leaders and professional associations in the sector through the internet and direct contact.

Our three year investment in a new Social Science Section at the Parliamentary Office for Science and Technology was launched in September 2013. The team has embarked on the first ever research project examining the use and impact of social science in Parliament, bringing together research and information professionals from both Houses to participate in the initiative. Other countries are looking to replicate this study. The first tranche of PhD interns, recruited from the ESRC’s Doctoral Training Centres, produced briefings (POST notes) on big data and alternative currencies.

**Impact through engagement with practitioners**

Our investments produce wide ranging impacts on practice, in areas such as education, finance, policing, sustainable manufacturing, and treatment of mental health. Example 6, draws out key factors in enabling impact on practice, including the importance of institutional context, mutual benefits and human factors that engender trust.

**Example 5: Keeping charitable donations tax-free**
Professor Kimberley Scharf at the ESRC Centre for Competitive Advantage in the Global Economy (CAGE) helped reverse government proposals of a cap on tax relief for charitable giving. Consequently charitable donations were excluded from the cap on unlimited income tax reliefs in the Finance Act 2013. Professor Scharf’s critical assessment, its research-based credibility, and dissemination of her views on blogs and social media have been credited in part for the reversal of the original policy. The Charities Aid Foundation estimated such a cap would lead to a potential £500m annual loss to the sector.

*www.esrc.ac.uk/news-and-events/features-case-studies/case-studies/31202/keeping-charitable-donations-tax-free.aspx*

**Example 6: Policing crowds without force**
Building on initial ESRC-funded research, Dr Clifford Stott and colleagues developed a model of crowd conflict now widely viewed as the leading psychological theory of its kind. Dr Stott’s research provided powerful evidence that crowds can be managed more effectively when the police concentrate on enabling lawful behaviour - such as protests - rather than merely trying to control criminal behaviour through fear and force. Today, his ideas permeate police training and policy as well as the recent introduction of new police ‘liaison units’ designed to avoid conflict through dialogue. The research is incorporated directly into the College of Policing National Police Public Order Training Curriculum (2010), and resultant advice and training has influenced police commanders in the UK, and more widely including police commanders across Europe and Australia. Dr Stott helped design, develop, train and implement the UK’s first Police Liaison Teams (2011). His research underpinned the £1.1 million Pan European Football Police Training Project, delivering customised training to 250 police officers from 21 countries.

*www.esrc.ac.uk/news-and-events/features-case-studies/case-studies/30853/policing-crowds-without-force.aspx*

**Example 7: Economist helps Bank of England deal with financial crisis**
Professor Klemperer, a leading ESRC-funded economist, used his research into auctions within economics to design the ‘Product-Mix Auction’ that has enabled the Bank of England to rapidly allocate money to the banks and building societies that needed it. In 2007, as the financial crisis took hold in the UK in the wake of the collapse of Northern Rock, the Bank of England realised it needed to supply liquidity urgently to the banks and building societies that needed it most. The Bank of England uses this auction system on a regular basis to provide liquidity to the UK financial system, and in October 2013 the current Bank of England Governor Mark Carney announced that the Bank would hold larger auctions to offer money at a lower cost and in exchange for a wider range of collateral. Our funding has supported Prof Klemperer to develop his design further, and his new design is also applicable to many other contexts, such as energy markets.

Impact through engagement with policymakers

Policy impacts can take longer to materialise than those on practice because of the time lags associated with policy development and the numerous factors that influence it. This year an excellent range of policy impacts is evident from our investments, evaluations and competitions (see example 1). Strategic foresight and access to world-class researchers enabled us to invest in a major programme (2012 to 2014) on The Future of the UK in Scotland. Consequently, our investments provided timely, and robust independent research-based evidence to feed into debates around the Scottish Independence Referendum. Early 2014 saw the emergence of the first outputs of this investment, including the Institute for Fiscal Studies publication on Fiscal Challenges and Opportunities for an Independent Scotland.

As with other forms of impact, relationships are the key to achieving impact on policy (see examples 8 and 9). It is good to see an increase in the numbers of events held by our major research investments, targeted at public, policy, business and third-sector participants, from an average of nine per investment in 2010/11 to 14 per investment in 2013/14.

Overview of impact evaluation programme

Our impact evaluation work continues to generate evidence of impact across the ESRC’s portfolio, and to enhance our understanding of how impact arises. The studies conducted this year focused on topics including the relationship between interdisciplinarity and impact, the impact of three ESRC Economics centres, and the impact on business of ESRC funded activity.

The evaluation of the relationship between interdisciplinarity and impact was based on a small scale exploratory study, and identified two main interdisciplinary research (IDR) modalities that were operational. One involved closer involvement and integration of stakeholders, and represented the...
‘unifying’ modality. This type of interdisciplinary research focussed on the stakeholders’ problems, and integrated cognitively distant disciplines to develop solutions for these problems. Its key features were stakeholder participation in the research and in application of the solutions, trust between partners, appreciation of stakeholders’ input and feedback, and stakeholders’ ‘buy in’ to the aims of the research, and of the different approaches being pursued. A second involved “concerted” modality, where different but cognitively close, disciplinary perspectives were combined but not integrated to address broad societal challenges. In such examples, impact was typically sought through the dissemination to stakeholders of research results.

While the report is unable to provide generic recommendations on how to maximise the benefits of IDR and address its challenges, the evaluators were able to conclude that IDR cannot be associated with a single type of impact mechanism. Terms like “impact of IDR” can therefore be misleading as they may suggest that practices are more homogeneous than they are in reality. Instead, there is no single interdisciplinary approach to impact generation. In addition, IDR is neither a sufficient nor a necessary condition for societal relevance and impact: it can also emerge as a response to purely academic questions, that can be tackled within the confines of traditionally bounded disciplines.

We commissioned ‘Evaluating the Business Impact of Social Science’ to examine the processes through which social science research and related activities impact upon business. The project involved an examination of the processes through which social science research and related activities impact upon business in relation to three of the UK’s leading business/management schools that have received significant amounts of ESRC funding in recent years: Cardiff Business School, Lancaster University Management School, and Warwick Business School. The study tracked forward from research and related activities at the three Schools to assess their impact on business (see examples 4 and 11). It also tracked the career paths of doctoral graduates from these schools and investigated in greater depth the contributions of those working in business. Key findings of the business impact of PhD programmes are summarised here; while employment outside of academia was unusual for doctoral graduates from the schools, PhD graduates working in the private sector or who were self-employed reported a wide range of impacts from the skills and knowledge developed through their PhD such as:

- bringing new ideas to the organisation, offering thought leadership
- strong sense of credibility, expertise and employability, enhancing business reputation
- acting as intermediaries between the world of industry and academia, translating cutting edge research for business use
- using subject specific knowledge to grow the business
- high quality work skills and thinking ‘outside the box’.

The business impact report highlighted that there is scope for business and management schools to place greater emphasis on more practical skills such as project management and the communication of research findings to non-specialists, as part of PhD training and supervision processes.

Impact through engagement with business

Achieving research impact in business is core to our delivery plan and reflected in our engagement initiatives with the key sectors in this area. Our strategic and responsive investments also affect business as shown in examples 4 and 11.

In 2013 we worked in partnership with BIS, Innovate UK 4 and the British Bankers Association, to establish the Enterprise Research Centre, to answer the central question ‘What drives SME growth?’. The centre is a collaboration between a number of universities and aims to bring together the evidence base on SMEs and enterprise, and works with both policy makers and practitioners. The benefits of the co-funded partnership mean that the centre is linked directly into both the

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4 Known as the Technology Strategy Board throughout this reporting period.
policy world, through BIS as well as business, through Innovate UK and the British Bankers Association, enhancing the potential for impact. The added value of ESRC funding ensures that the centre has a strong reputation for independent, high quality academic research. An exemplar output from the centre is the Local Economic Partnership (LEP) Growth dashboard, a comprehensive document that aims to provide each LEP with a set of simple metrics on the growth of existing firms and start-ups in the LEP area.

Impact through collaborative activities
We directly collaborate with a range of non-academic organisations to support research. For example, the Knowledge Transfer Partnership (KTP) programme delivered by Innovate UK offers opportunities for companies, organisations, UK universities or college partners and recently qualified graduates (associates) to work collaboratively to develop a business opportunity, idea or innovation. A KTP award can help businesses to introduce and integrate new and existing technology and skills, gain knowledge and expertise and address challenges – generating business transformation. In 2013/14 the ESRC co-funded 31 new KTP projects and 49 on-going projects, all involving academic social scientists (example 13). Awards are made by Innovate UK and the seven Research Councils each year for outstanding KTPs. In 2013 six KTP projects with ESRC funding were amongst the 17 finalists, and one was a winner of the RCUK Societal Benefit award category.

Impact through public engagement
Engaging publics is an important part of our portfolio of knowledge exchange activities bringing about public benefits, and reciprocal improvements to research and its impact. Some of the ESRC Celebrating Impact Prize winners cited in this report (example 14) have engaged with the public using a combination of participatory arts projects and through intergenerational learning on age awareness to shift stereotyped and negative perceptions which we know shape the social value, opportunities and resources assigned to women as they age. The ESRC’s eleventh annual Festival of Social Science was held from 2 – 9 November 2013 to engage the public with social science research and to raise awareness of its impact.
on society and the economy. There were 184 events held across seven regions and in 40 UK towns and cities. Feedback indicates that approximately 18,000 people attended the Festival, with 2,295 feedback questionnaires completed and returned for evaluation. 88 per cent of respondents said they would seek out further information about the topic, while 85 per cent of respondents said they would use the information from the event in their work or studies.

We collaborated with the Office for National Statistics (ONS) to run a series of public dialogues across the UK on using administrative data, to understand better how people view using and linking administrative data for research. These dialogues allowed us to explore attitudes around the re-use of sensitive data, mandatory and voluntary data collection and long-term data storage and data linking, and, specifically, examine the re-use of public data for research purposes. Subsequently, these engagements with the public have helped us better understand people’s views on the use of administrative data, and informed the development of the governance and operational procedures at Administrative Data Research Centres, and also their future strategies and priorities for public engagement.

Our large research investments report significant public engagement activity through tools such as events and social media. Evidence of the benefits of involving publics in research is exemplified by the very different engagement strategies and their results as set out in examples 8, 13 and 14.

Example 13: Business strategies for fire prevention and community safety
An ESRC co-funded KTP partnership with Nottingham Fire and Rescue Service (NFRS) and Nottingham Trent University fed into a fundamental restructure of NFRS’s organisation, at the heart of which is a new Knowledge and Information Hub gathering information from partners and NFRS to inform interventions and guide business decisions. The KTP aimed to establish which prevention activities were most successful in improving community safety and won the RCUK Societal Benefit award 2014. The evidence based interventions have had a dramatic impact on community safety with an estimated reduction of 1500 call outs in the next three years resulting in savings of £1,053,000. New and improved relationships with social housing organisations have revealed gaps in knowledge of unreported domestic fires which is allowing prevention strategies to be targeted at the most vulnerable communities improving their safety. At a national scale the project is influencing behaviours across the UK FRS sharing best practice and guidance on data sharing.


Example 14: Look at Me! Images of Women and Ageing
Following an innovative research project under ESRC’s New Dynamics of Ageing programme, Dr Lorna Warren, an Impact Prize winner, developed a pioneering project in which older women explored their experience of ageing through art, providing the impetus for a campaign challenging ageism and sexism through a range of policy and school-based initiatives. One of these, an art-based project ‘Look at Me! Images of Women and Ageing’, involved a group of 41 women from Sheffield aged 43-96 to create ‘untraditional’ images of themselves which were then exhibited in several venues in the UK. This attracted positive public response, with 88 per cent of those surveyed after the exhibition wanting to see more representations of ordinary older women publicly displayed. Another initiative involved workshops that explore age-based stereotypes in schools, with a view to include ageism in Personal Social Health and Economic (PSHE) education; this helped promote positive perceptions of ageing. To raise greater public and policy attention to these issues, Dr Warren last year co-launched a Charter against Ageism and Sexism (ChASM), developed in collaboration with the New Dynamics of Ageing programme, Women Ageing and Media, Women in Journalism and the National Union of Journalists. Their research findings were cited by the 2013 Commission on Older Women and in evidence submitted to the 2012 All-Party Parliamentary Group on Body Image, and also influenced Sheffield City Council’s Strategy for an Ageing Population and Birmingham Policy Commission ‘Healthy Ageing in the 21st Century’ (2013).

Impact through investment in infrastructure
Following the allocation of £64 million to the ESRC for investment in a Big Data Network, we have now established a series of world-leading data infrastructures with the broad aim of facilitating access to different types of data. The Administrative Data Research Network (ADRN), consisting of four Administrative Data Research Centres (ADRCs) and a co-ordinating Service, was established as Phase 1 of this Network in October 2013. The ADRN provides access to de-identified administrative data collected by government departments for research use. Three Business and Local Government Data Research Centres were then established as Phase 2 of this Network. The Consumer Data Research Centre, Urban Big Data Centre and Business and Local Government Centre were launched in February 2014 and will make data, routinely collected by business and local government organisations, accessible for academics to undertake research of mutual benefit to researchers and data owners. As well as providing a service to enable access to these data, the Big Data Network are developing capacity in the research community to engage with these different forms of data, and developing new methodologies that will enable them to be mined more effectively.

Our UK Data Service (UKDS) is our longstanding investment to provide a single point of access to a wide range of secondary data. As well as promoting data sharing to encourage the reuse of data, and providing expertise in developing best practice for research data management, UKDS provides extensive support, training and guidance to meet the needs of data users, owners and creators. In March 2014 an independent report published by JISC found that UKDS realises additional returns on investment of between 2.5 and 10 times our annual investment. In other words, this is worth between £58 million and £230 million over 30 years (net present value). Data from our Centre for Longitudinal Studies can be accessed through UKDS; these data and evidence were used by the Welsh Government to develop programmes and policies to support children and their families across the early years (example 15).

Taken together these investments now provide a world leading resource that will enable innovative research to shape our knowledge of society and help us prepare and evaluate better government policies in the future.

Impact through international collaboration
We promote UK social science internationally and, through specialised initiatives and schemes, enable UK social scientists to work with peers across the globe. Many of our major investments and our long-standing partnership with the Department for International Development (DFID) have made impacts on societies beyond the UK. The best practice and knowledge distilled from these experiences has also fed into a

Example 15: Influencing Welsh Government’s early years and childcare plan
Evidence from the ESRC’s Centre for Longitudinal Science (CLS) cohort studies formed a considerable portion of the evidence base for the Welsh Government’s first Early Years and Childcare Plan, published in July 2013. The 10-year plan outlines the actions the Welsh Government will take to improve children’s health and wellbeing, support parents, and ensure provision of high-quality early education and childcare. It highlights findings from the cohort studies that show factors such as mother’s health during pregnancy, child’s birth weight, parents’ education and employment, family’s housing and socio-economic circumstances can have a lasting effect on children’s cognitive, social and behavioural development.

Example 16: Helping governments reduce poverty
Dr Sabina Alkire and colleagues have developed an innovative method for measuring multidimensional poverty which is helping governments and organisations globally to design more effective poverty-reduction programmes. This new, highly flexible tool captures many different aspects of poverty such as poor health, lack of education and inadequate living standards. The governments of Bhutan, Colombia, Mexico and the Philippines are using AF multidimensional poverty measures to track poverty and improve poverty eradication efforts; and officials from Chile, El Salvador, Malaysia, Vietnam and Nigeria are working on new official measures. To support and share information on these innovative measures, the Multidimensional Poverty Peer Network (MPPN) was co-founded in 2013, with Mexico’s CONEVAL and Colombia’s Department of Social Prosperity, and the network now counts ministers and officials from over 25 governments and international organisations as its participants.

wider European discourse, e.g. Professor Irene Hardill’s keynote address at the ‘Achieving Impact - Socio-Economic Sciences and Humanities (SSH) in Horizon 2020’ conference in February 2014 reported ESRC’s perspective on assessing the impact of international projects. This has elicited interest from Germany, Ireland and Canada who all hope to learn from cutting edge UK thinking around KE.

The ESRC-DFID Joint Fund for Poverty Alleviation Research has funded over 120 projects since 2005. It aims to provide a more robust conceptual and empirical basis for development and enhances the quality and impact of social science research on poverty reduction. Subsequently, the ESRC’s collaboration with DFID has expanded to include programmes on economic growth, education, and China’s role in African development. Both funders are committed to commissioning world-class research and ensuring the results are available for policymakers, and development and humanitarian practitioners worldwide (example 16/17).

Through both our targeted and more standard schemes, we enable UK social scientists to collaborate with the best researchers across the globe. ESRC researchers have proposed that poverty is more than just lack of income - and no single indicator can capture the multiple aspects that constitute poverty or disadvantage. With the help of an ESRC-DFID grant, Dr Sabina Alkire and Professor James Foster of the Oxford Poverty and Human Development Initiative (OPHI) have developed an innovative methodology for measuring poverty, known as the Alkire-Foster (AF) method (example 16). Example 17 highlights how the ESRC funded research has improved the life chances of children who have been orphaned by HIV and AIDS.

Impact through skilled People

The ESRC’s Future Research Leaders scheme supports outstanding early-career social scientists to acquire the skills set to become the future world leaders in their field, and includes funding for excellent social science research projects. We also provide funding for over 600 new postgraduate students each year through our 21 Doctoral Training Centres (DTCs). DTCs are located across the country and include 46 institutions. The first studentships established under our national DTC network were in their second year in 2013/14. We provide current ESRC-funded PhD students with the opportunity to spend up to six months in a non-academic organisation where they can work as part of a team involved with policy and practice development. The internship scheme provides host organisations with a clear set of benefits and contributes to the skills and professional development of PhD students. During the year 94 internship awards were made in total through the DTCs and ESRC’s internship schemes. Two of the impact examples (2 and 18) included in this year’s report arose through the perseverance, knowledge and drive of our postgraduate students, and we recognise their achievements through our annual Impact Prize.

Example 17: Changing the lives of children orphaned by AIDS

ESRC funded research has informed the development of AIDS-related policy in Sub-Saharan Africa, improving the life chances of children who have been orphaned by HIV and AIDS. Researchers identified specific interventions which could reduce the risks that children face and increase their resilience. These interventions have shaped national and international policies, and are extensively cited in South African government and UNICEF policy documents. The direct use of these studies by policymakers and practitioners in sub-Saharan Africa has contributed to combating the effects of AIDS on some of the world’s most vulnerable children.


Example 18: The plain facts of tobacco packaging

Olivia Maynard’s ESRC-funded PhD research of how plain, standardised packaging impacts on people’s attention to tobacco health warnings is a key part of a growing body of evidence underpinning recent reviews and changes to legislation. Her study, the first to use objective behavioural measures to investigate the behavioural impact of plain packaging, suggests that it could be an effective means of tobacco control. In April 2014, the UK government announced that plain packaging would be introduced in England, following the publication of a review citing Ms Maynard’s research. In 2012 her research was cited in defense of plain packaging legislation in Australia, and the European Commission’s update of the Tobacco Products Directive.

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<td>4%</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Total Expenditure</td>
<td>£mil</td>
<td></td>
<td>213</td>
<td>204</td>
<td>229</td>
<td></td>
</tr>
<tr>
<td>of which Responsive Mode Grant</td>
<td>£mil</td>
<td></td>
<td>44</td>
<td>48</td>
<td>47</td>
<td></td>
</tr>
<tr>
<td>of which Postgraduate Awards</td>
<td>£mil</td>
<td></td>
<td>61</td>
<td>55</td>
<td>53</td>
<td></td>
</tr>
<tr>
<td>of which other components</td>
<td>£mil</td>
<td></td>
<td>108</td>
<td>101</td>
<td>129</td>
<td></td>
</tr>
<tr>
<td>of which Responsive Mode Grant</td>
<td>%</td>
<td>21%</td>
<td>24%</td>
<td>21%</td>
<td></td>
<td>Strategic Research - Largest component</td>
</tr>
<tr>
<td>of which Postgraduate Awards</td>
<td>%</td>
<td>29%</td>
<td>27%</td>
<td>23%</td>
<td></td>
<td></td>
</tr>
<tr>
<td>of which other components</td>
<td>%</td>
<td>51%</td>
<td>50%</td>
<td>56%</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Value of Support for cross-council programmes</td>
<td>£mil</td>
<td>37</td>
<td>37</td>
<td>36</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Knowledge Transfer and Exchange**

| KE Spend  | £mil | 6.5 | 8.6 | 7.6 | |

**Knowledge Generation and evaluation data**

| Number of grants assessed for reporting | #     | 4,853 | 1,774 | 1,458 | |
| Refereed publications  | #     | 2,947 | 4,131 | 2,833 | |
| Non refereed publications | #     | 3,462 | 6,057 | 6,212 | |
| Co-authorship of refereed publications – International | # | 61 | 810 | 674 | |
| Co-authorship of refereed publications – Industry | # | NA | 153 | 120 | |

**Optional Metrics**

| Research quality (evaluation grade %) | 94 | 92 | 93 | |

| Level of usage of ESRC research resources | | No. active users – snapshot as at 31/3 |
| Active registered users | # | 20,635 | 24,771 | 22,021 | |
| Datasets delivered | # | 61,081 | 58,568 | 73,171 | |
## Human Capital

<table>
<thead>
<tr>
<th>METRIC</th>
<th>UNITS</th>
<th>YEAR</th>
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<th></th>
<th>NOTES</th>
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<tbody>
<tr>
<td>Principal Investigators</td>
<td>#</td>
<td>2011/12</td>
<td>301</td>
<td>395</td>
<td>398</td>
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<tr>
<td>Research leaders in sponsored institutes</td>
<td>#</td>
<td>2012/13</td>
<td>NA</td>
<td>NA</td>
<td>NA</td>
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<tr>
<td>Research fellowships</td>
<td>#</td>
<td>2013/14</td>
<td>75</td>
<td>42</td>
<td>60</td>
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</table>

ESRC does not fund institutes

<table>
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<th>METRIC</th>
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<th>YEAR</th>
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</thead>
<tbody>
<tr>
<td>Number of PhD students supported</td>
<td>#</td>
<td>2011/12</td>
<td>645</td>
<td>753</td>
<td>770</td>
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<tr>
<td>Number of other students supported</td>
<td>#</td>
<td>2012/13</td>
<td>6</td>
<td>6</td>
<td>6</td>
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<tr>
<td>Finishing rates</td>
<td>%</td>
<td>2013/14</td>
<td>73</td>
<td>74</td>
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### Optional Metrics

<table>
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<th>YEAR</th>
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<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Number of users placed in HEIs/ESRC</td>
<td>#</td>
<td>2011/12</td>
<td>49</td>
<td>63</td>
<td>46</td>
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<tr>
<td>Research investments</td>
<td>#</td>
<td>2012/13</td>
<td>171</td>
<td>154</td>
<td>217</td>
</tr>
</tbody>
</table>

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1 Figures are as presented in the ESRC Annual Report and Accounts [http://www.esrc.ac.uk/_images/ESRC%20AR_tcm8-31173.pdf](http://www.esrc.ac.uk/_images/ESRC%20AR_tcm8-31173.pdf)

2 Highlighted here is the ESRC's contribution to cross-Council research, evidence of the integral role of social science in these interdisciplinary endeavours. For 2013-14, we have made major contributions to the multi-million-pound cross-Council interdisciplinary programmes on Digital Economy, Global Uncertainties and Lifelong Health and Wellbeing respectively (see ESRC Annual Report and Accounts).

3 In 2013/14 we moved to embed investment in KE within all areas of our investment. The figure reported this year (and in the future) links to new additional spend.

4 The ESRC’s Research Catalogue records all publications produced during the award period, and captures post-award publications on a voluntary submission basis through the cross-Council Research Outcomes System (ROS; note that in the future Researchfish will be the repository and source for these). The spike in 2012/13 overlaps with the REF2014 submission period.

5 This is the third year in which we have been able to report against this metric, based on data collected through ROS. The spike in 2012/13 links to note 4.

6 This is the second year in which we have been able to report against this metric, based on data collected through ROS. The data in 2012/13 links to overlap with REF2014 flagged in note 4.

7 Due to the introduction of ESRC’s new final reporting system in 2009/10, which delays project evaluation until 12 months after grant completion, the number of grants assessed in 2011/12 was approximately one third of average numbers. Expert analysis has shown that current bibliometric data are not a sufficiently robust measure of the impact of most social science disciplines. For this reason the Council is reporting evaluation grades for the work it funds. These grades reflect the results of independent peer review of end of award impact reports.

8 We report here on the number of active registered users able to access the datasets available from the ESRC’s principal data facility, the UKDS; note that the figure is based on a ‘snapshot’ as recorded on 31 March 2014 rather than an annual average. The number of unique datasets delivered is an annual total.

9 Data includes all PIs on all grants commencing activity in the period 1 April 2013-31 March 2014, using unique names; equivalent periods for data from 2011/12 and 2012/13.

10 Data includes all Fellowship grants commencing activity in the period 1 April 2013-31 March 2014. Data excludes Placement Fellowships (reported separately in annual reports of our major investments) and Research Fellows funded as part of other Research Grants. Note that the Post-Doctoral Fellowships scheme closed to new entrants in February 2011, which has resulted in a decline in the total number of Fellows supported. The new Future Research Leaders scheme is now the primary mode of dedicated support for early-career researchers.

11 This figure relates to a strategic initiative to build research capacity in Demography.

12 The figures for 2013/14 are not available yet. The figures reported for 2011/12 and beyond are based on the four-year submission rate. Figures reported in previous years were based on the five-year submission rate. The method of data collection for the submission rate survey changed in 2011/12, moving to a multi-Council platform – JeS, used to provide our communities with electronic grant services.

13 Reported are placements organised by the Council’s major investments.
RCUK

Research Councils UK (RCUK) is a strategic partnership of the UK Research Councils which enables the Research Councils to work together more effectively to enhance the overall impact and effectiveness of their research, training and innovation activities. The RCUK Impact Report reports on activities that Councils are doing together; how cross-council working is being delivered and the added value and impact that is being achieved as a result. The RCUK Impact Report is at www.rcuk.ac.uk.

Bibliography/references

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www.esrc.ac.uk/_images/Assessing%20the%20impact%20of%20socio-economic%20sciences%20and%20humanities_tcm8-30761.pdf

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www.esrc.ac.uk/_images/Dialogue_on_Data_report_tcm8-30270.pdf

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ESRC Festival of Social Science 2013 Evaluation
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Local Economic Partnership Growth dashboard

The Future of the UK and Scotland
www.futureukandscotland.ac.uk/programme

Welsh Government’s Early Years and Childcare Plan