# Narrating the societal impact of research
# 研究の社会的インパクトを語る

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SCHOOL OF HUMANITIES

ENRESSH

# Main idea

- A problem:

  - Impact-evaluation of research (particularly evaluation of <u>societal impact</u>) is problematic.

  - Identifying the societal good or fundamental aim of research is difficult.

- A new approach:

  - Using theories of epistemic virtues (EV) and the capability approach (CA) to narrate and evaluate the societal impact of research.

- 問題

  - 研究のインパクト評価（とりわけ研究の<u>社会的インパクト</u>）は問題をはらんでいる。

  - 研究の社会的善や根本的な目的を特定するのは難しい。

- 新しいアプローチ

  - 研究の社会的インパクトを語り、評価するために**認知的善**（EV）と**潜在能力アプローチ**（CA)理論を使う。

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# Plan of presentation

A. The nature of the problem:

  i. Societal impact of research

  ii. The tyranny of metrics

  iii. The special case of the humanities

  iv. The state of play

B. A possible solution in the Capability Approach

  i. Societal capacities

  ii. Some cases involving EV and CA

  iii. Capabilities and/as societal impact of research

A. 問題の性質

  i. 研究の社会的インパクト

  ii. 評価指標の横暴

  iii. 人文学の特殊性

  iv. 現状

B. 潜在能力アプローチ：解決の可能性

  i. 社会の能力

  ii. EV（認知的善）とCA（潜在能力）

  iii. 潜在能力と研究の社会的インパクト／研究の社会的インパクトとしての潜在能力

# Start with a 3 minute break!

Question: What is the societal impact of your research?

Question: あなたの研究の社会的インパクトは何ですか？

Answer: 2-3 sentences (just for your self but will use later).

Answer: 2-3の文章で答えてください（あとで使いますのでメモしておいてください）

# A.i. Societal impact of research

- High on the agenda in European research policy.

- Examples:

  - European Framework Programs for research.

  - REF exercise in the UK.

- Basic idea:

  - Research has to have a positive effect on society – i.e. the society outside academia.

・ヨーロッパの研究政策において重要な

位置づけ

・例）

　・研究のための欧州枠組計画（FP)

　・イギリスの研究評価制度

　Research Excellence Framework

　(REF)

・根底にある考え

　・研究は社会に対してポジティブな

　影響をもつものである（すなわち、

　アカデミアの外にある社会）

# A.i. Societal impact of research

- Traditional societal impacts:

  - On economy.

  - On policy (local, national, global).

  - On praxis (i.e. directly on society).

- Today:

  - Sustainable Development Goals (SDGs) increasingly used to measure societal impact of research.

  - A way to identify the **positive societal impact** of research.

・従来型の社会的インパクト

　・経済的

　・政策的（地域、国家、グローバル）

　・実践的（社会への直接的）

・現在

・研究の社会的インパクトを把捉するため、持続可能な開発目標（SDGｓ）が使われるように

・研究のポジティブな社会的波及効果を特定するための一手段

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# A.ii. The tyranny of metrics

Jerry Z. Muller, *The Tyranny of Metrics* (2018), on goal displacement:

*When performance is judged by a few measures and the stakes are high (…) people will focus on satisfying those measures… The result is that* <u>*metric* means *come to replace the organizational*</u> <u>ends</u> *that those means ought to serve.*

- 業績が二三の手段で判断され、それですべてが決まるとなると（中略）人はその手段を満たすことに集中する。 …その結果、指標という手段はその手段が実現するはずの組織的目標とすり替えられている。

# A.ii. The tyranny of metrics

Ismael Ràfols, comment in Research Europe (2017):

*In summary, for the assessment of societal impact, given that the effects of research are uncertain and disputed, bespoke Indicators have to be developed and used in collaboration with research users. <u>At present indicators are tools to close down debate</u>. They should instead become part of a pluralistic exploration of impacts - and in the process foster wider participation in research assessment.*

- つまり、研究の影響が不確かで評価が定まっていないことを考えると、社会的インパクトの評価のためには、研究の利用者とともにオーダーメードの指標を開発して使う必要がある。<u>現在のところ、指標は議論を閉じるためのツールとなっている</u>。そうではなく、指標はインパクトの多元的探究の一部となるべきで、その過程で研究評価へのより広い参加を促すべきである。

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comment 7

ismael ràfols **view from the top**

## There's no silver bullet for measuring societal impact

Across Europe, policymakers are placing more emphasis on the contributions of research to society. These contributions are diverse—taking in improvements to well-being, spurring innovation or creating meanings—and their assessment is complex and subjective. This creates a pressure to develop indicators that can justify policy choices while saving time and resources.

But using general indicators as a silver bullet to measure societal impact is analytically wrong, unfair to some types of research and harmful to science as a whole. The contributions of science to society are so varied, and mediated by so many different actors, that indicators used in impact assessment cannot be universal metrics. Instead, they need to be developed for given contexts and used alongside qualitative assessment.

First, remember that science, technology and innovation do not necessarily improve social well-being. They have also caused much harm—sometimes purposefully, as with nuclear weapons, sometimes accidentally, as with asbestos or thalidomide. Often, there is uncertainty and disagreement regarding what is desirable—some may think, for example, that developing renewable energy is more important than improving the combustion engine.

Therefore, we cannot assume that more impact is necessarily better. It is crucial to assess the type of contribution made. Improving weapons is not the same as developing therapies. Impact is a vector, not a scalar—its direction matters. Unidimensional indicators, such as numbers of jobs created, cannot capture directions—the value of the impact depends on the type of jobs.

Second, policy analysts such as Roger Pielke Jr have argued that, for uncertain and disputed questions, analysis cannot be separated from decision-making. This applies to societal impact: what is valued is tightly entangled with what is measured and how. Therefore, impact indicators must be developed as part of the decision-making process, and include diverse views and interests.

Developing indicators in this way would be a major departure from current practices. Conventional science indicators are mainly based on information from a few data sources, for example publications, tweets or patents.

These indicators come with assumptions about the data, such as the meaning of a citation, and the effect of measurement, for example that assessment will foster 'quality'. This type of research assessment analysis takes place in seclusion, away from the contexts and decisions about research and policy.

To shift the way indicators are developed, I would adopt two suggestions for pluralising science policy advice, made by Andy Stirling and his colleagues in the Science Policy Research Unit at the University of Sussex.

The first involves a broadening of inputs, from publication and patent databases to a wider set of data and expertise. This could include information from social media, as well as databases of news, healthcare, consumption, social welfare and so on.

More data alone is not enough. Disparate forms of expertise will be needed to bring in qualitative insights to frame, interpret and contextualise these data. Such interpretation is crucial because indicators mean different things in different contexts.

The second move concerns how the outputs of analysis are presented and used in decision-making. Conventionally, indicators are presented to decision-makers as tables, providing what seems to be a unique and prescriptive ranking of the options or performers.

In cases such as societal impact, where there is uncertainty and disagreement, evidence should instead be presented in formats such as spider graphs, maps or drawings, which allow different interpretations depending on priorities, thus providing plural and conditional advice.

A science map, for example, can show the differences between research that contributes to therapies or to prevention. Different parties, each with their own values and interests, can then argue about the strategy that will have a more desirable form of impact.

This way of presenting evidence acknowledges that societal impact assessment is inevitably value-laden. Rather than using indicators that hide these values—and their politics—the aim should be to reveal the assumptions behind quantitative evidence for impact.

In summary, for the assessment of societal impact, given that the effects of research are uncertain and disputed, bespoke indicators have to be developed and used in collaboration with research users. At present, indicators are tools to close down debate. They should instead become part of a pluralistic exploration of impacts—and in the process, foster wider participation in research assessment.

*More to say? Email comment@ResearchResearch.com*

*Ismael Ràfols is a science policy analyst at the Universitat Politècnica de València, Spain. This article is based on his keynote to the Science, Technology and Innovation Indicators conference held in Paris between 6 and 8 September. For slides and references, see goo.gl/eLYhny*

'Societal impact assessment is inevitably value-laden.'

Research and Innovation

# A.ii. The tyranny of metrics

Stefan Collini, *Speaking of Universities* (2017):

*The entirely legitimate demand that universities be accountable to society has, in conjunction with certain other features of the contemporary political climate, resulted in the growth of a particular kind of <u>audit culture that is having very damaging unintended consequences</u>.*

- 大学が社会に対して説明責任を負うという、しごく真っ当な要求は、現代の政治的風潮のある特徴とともに、<u>とても有害な意図しない副作用をもつ、特定の監査文化</u>の成長をもたらした。



SPEAKING OF UNIVERSITIES

'A STRONG, PERSUASIVE VOICE. AND WE NEED TO HEAR IT' MARINA WARNER
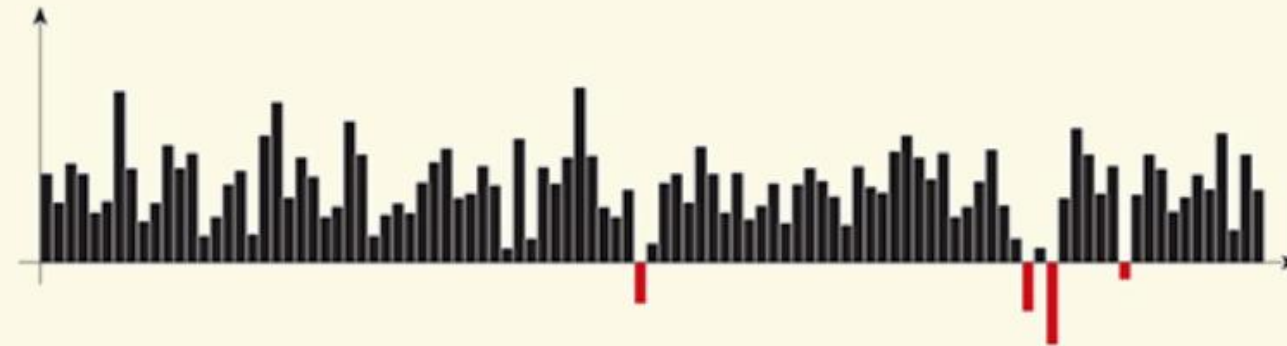
STEFAN COLLINI

# A.iii. The special case of the humanities

- Impacts of research in the humanities: Multiple "standard" impacts.

  - Technology

  - Policy

  - Praxis

- Impacts can be local or global in nature.

- <u>But</u>: Societal impact of humanities badly understood and very limited literature on the subject.

・人文学における研究のインパクト：
複数の「標準的」インパクト

　　・技術

　　・政策

　　・実践

・インパクトは本来、地域的もしくはグ
　ローバル

・<u>しかし</u>、人文学の社会的インパクトは
　十分に理解されておらず、限られた
　文献しかない。

# A.iii. The special case of the humanities

- Pathways of impact in the humanities: Multiple "normal" pathways.

    - Education.

    - Co-creation.

    - Knowledge transfer.

    - Formal partnerships.

- But: More informal contacts in humanities than other disciplines.

・人文学におけるインパクトの経路：
複数の「普通の」経路

　　・教育

　　・共創

　　・知識の伝達

　　・正式なパートナーシップ

・しかし、ほかの分野に比べ人文学では
よりインフォーマルなコンタクトが
多い。

# A.iii. The special case of the humanities

- Palgrave Communication (2017): Zoe Bulaitis

  - "Work within SSH evidences that humanities scholars themselves recognise alternative values, beyond the economic and commercial, in the work they do." (7)

  - "This article calls for humanities scholars to build upon such evidence, in providing an alternative approach that engages with policymaking as opposed to avoiding it." (7)

  - Worries about the impact of "impact" on research. (5)

- 「人文学研究者自身が、自らの研究に経済的、商業的価値を越えた代替的な価値を認めていることを人社系の研究が証明している。」(7)

- 「この論文は、人文学研究者に対し、こうした証拠を踏まえ、政策形成を避けるのではなく、それと関わる代替的なアプローチを提供するよう呼びかける」(7)

- 「『インパクト』の研究へのインパクトへの懸念 (5)

# A.iv. The state of play現状

- "the circulation of research in networks to users with identifiable interactions creating things that make a good society as public benefits from private assets"

- "Good society" is the ultimate aim of research in the humanities.

- Good society is realised through societal capacities.

- Criterion: Internal change in networks.

- 私有財産から公的な便益としてよい社会を作るものを作る特定可能な相互作用を伴い研究の流布？？

- 良い社会が人文学研究の究極の目的

- 良い社会は、社会的潜在能力を通じて実現される。

- 基準：ネットワークの内部変化

Paul Benneworth, Magnus Gulbrandsen and Ellen Hazelkorn

The Impact and Future of Arts and Humanities Research

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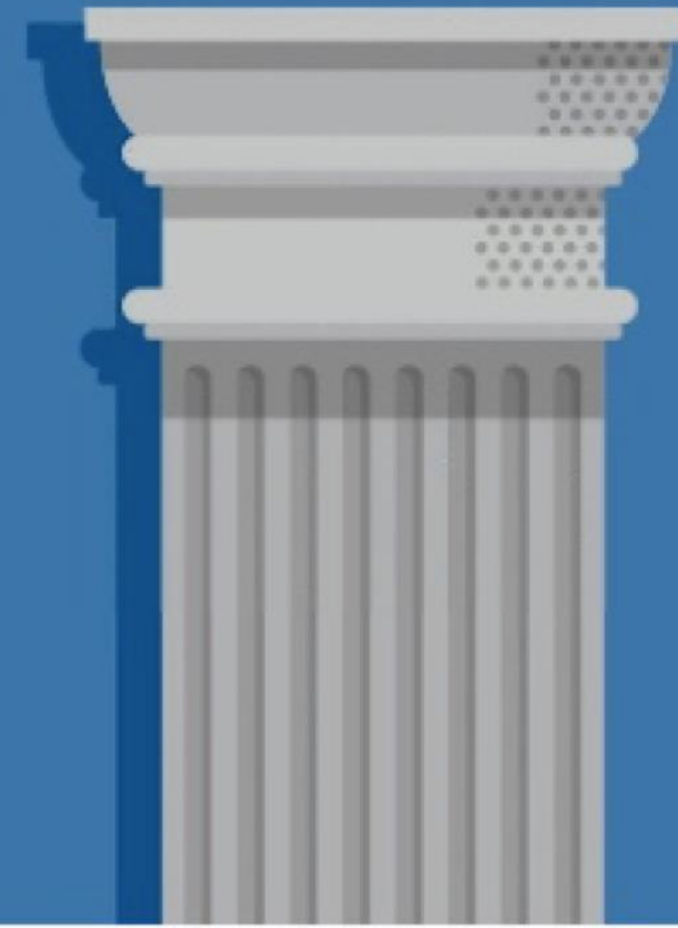
# A.iv. The state of play　現状

特に直接的な経済の領域外で「良い生活」を送るための社会的能力を作り、エンパワーする

| | 知識のつながり方 | 「価値」理解の概念的枠組み | 価値決定のプロセス |
|---|---|---|---|
| 過程の規模 | Process scale / Knowledge process | Conceptual framework for understanding "value" | Value determination process |
| 個人 | Indi-vidual / Co-creation of new knowledge 新たな知の共創 | The societal analogue for scientific excellence, directly related to individual research projects —measures of "goodness" | Are researchers making their findings as accessible as possible? 研究者はその成果を広く公開しているか？ |
| ミクロ | Micro / Knowledge exploita-tion/transfer 知識の利用／移転 | Users taking knowledge and research from researchers and embedding it in their own products, processes and techniques | Is there evidence that users are engaging/ex-ploiting findings? 利用者がその成果に関与し利用している証拠があるか。 |
| 中間 | Meso / Embodiment in network behaviour ネットワーク行動の体現 | Maximising incentives for creating public benefits from private activities, via autonomy and accountability | Are the findings dissem-inating and exploited via networks? 成果は普及し、ネットワークにより使われているか。 |
| マクロ | Macro / Becomes knowledge commons 知のコモンズになる | Creating and empowering soci-etal capacities to live a "good life", particularly outside direct economic sphere | Are networks changing in ways that promote a "better" society? よりよい社会とするためネットワークは変化しているか。 |

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# A.iv. The state of play　現状

- Benneworth et al.:

- "Our research has traced through a concrete series of examples the ways in which humanities research becomes codified and embedded in intermediate artefacts that create new forms of <u>societal capacity</u>—that is, social innovation."

- Benneworth et al.:

- 「我々の研究は、人文学研究が体系化され、新しい形の<u>社会的キャパシティ</u>、すなわち、社会的イノベーションを生み出す仲介的な人工物に埋め込まれるような、具体的な一連の例を追跡した」

# B.i. Societal capacities　社会的能力

- UNESCO on Social Transformations．

- "The world is undergoing important social transformations driven by the impact of globalization, global environmental change and economic and financial crises, resulting in growing inequalities, extreme poverty, exclusion and the denial of basic human rights. These transformations demonstrate the urge for innovative solutions conducive to universal values of peace, human dignity, gender equality and non-violence and non-discrimination. Young women and men, who are the most affected by these changes, are hence the principal key-actors of social transformations."

UNESCO：社会的変革に関して

- 「世界はグローバリゼーション、地球環境変化、経済・金融危機の衝撃により、重大な社会変革を経験している。それにより、不平等、極度の貧困、排他主義、基本的人権の否定などが拡大。こうした変革は、平和、人間の尊厳、ジェンダーの平等、非暴力、反差別といった普遍的な価値につながる革新的な解決策を必要としている。だからこそ、こうした変革にもっとも影響を受ける若い女性・男性は社会変革のもっとも重要な主人公である。」

# B.i. Societal capacities
# 社会的能力

- "The <u>humanities are crucial in fostering understanding of cultures and shedding light on social transformations</u>. They offer key input on such MOST priorities as social inclusion and sustainable development."

- "Managing social transformations is not only about technical solutions; it is also about <u>imagining creative alternatives</u>. In this work of imagination, the disciplines of the humanities have a key role to play."



- 「<u>人文学は、異文化の理解と社会変革に光を当てることを促すのに極めて重要である</u>。社会的包摂や持続可能な開発など、優先課題に重要なアイデアを提供する。」

- 「社会変革を成し遂げるには、技術的な解決策だけではなく、<u>創造的な代替策を想像すること</u>でもある。この想像という作業において、人文学は重要な役割を果たす」

# B.i. Societal capacities　社会的能力

- The World Humanities Conference, Liege, August 2017:

- "To recognize the irreplaceable capacity of the humanities in helping contemporary societies to meet critical challenges in achieving the Sustainable Development Goals as well as other global agendas such as the Paris agreement on climate change, the Sendai Framework for disaster risk reduction, the New Urban Agenda, and the 2063 Agenda for Africa, with related meanings, values, understandings and long-term trends"

- 世界人文学会議, Liege, August 2017:

- 「持続可能な開発目標（SDGs）や気候変動に関するパリ協定、防災リスク軽減のための仙台防災枠組、ニュー・アーバン・アジェンダ、アフリカのためのアジェンダ2063などのグローバルな目標を、関連する意味、価値、理解と長期的トレンドとともに達成するという重大な課題に立ち向かえるよう、現代社会を手助けする代替不可能な人文学の能力を認めること」

# B.ii. Some cases involving EV and CA

- European Network of Research Evaluation in the Social Sciences and Humanities (ENRESSH: [enressh.eu](enressh.eu)).

- Collection of 65 impact cases from around Europe to analyze „pathways to impact".

- Side-product:

  - Analysis of the concept of societal impact in 19 cases from the humanities; i.e. from the self-reporting of the scholars.

- 人文社会科学における研究評価の欧州ネットワーク (ENRESSH: [enressh.eu](enressh.eu)).

- 全欧65のインパクトケースを集め、「インパクトへの経路」を分析

- 副産物

  - 人文学の研究者自身の報告による19のケースにおいて、社会的インパクトの概念を分析

# B.ii. Some cases involving EV and CA

- Approach #1: Epistemic justice (M. Fricker).

    1. Testimonial injustice.

    2. Hermeneutical injustice.

        - When individuals and communities do not have conceptual and linguistic resources to understand and communicate their own experiences.

- Do researchers have a responsibility to correct this injustice?

- アプローチ1: 認知的正義 (M. Fricker).

    1. 証言的不正義

    2. 解釈的不正義

        - 個人やコミュニティが自身の経験を理解し、伝えるための概念的、言語的資源を持っていないとき

- 研究者はこの不正義を正す責任があるのか？

# B.ii. Some cases involving EV and CA

- Approach #1: Epistemic justice (M. Fricker).

  - At least 11 cases in the humanities "claim" epistemic justice as the most important societal impact.

  - E.g.: Cases concerning sign-language users, women in particular contexts, children and other marginalised communities.

  - Usually research resulting in different forms of empowerment through testimonial and / or hermeneutical justice.

- アプローチ 1: 認知的正義 (M. Fricker).

  - 少なくとも人文学の11のケースが、最も重要な社会的インパクトとして認知的正義を主張した。

  - 例：手話話者、特定の状況下の女性、児童や社会的弱者コミュニティのケースなど

  - たいていは、証言的かつ／または解釈学的正義を通じてさまざまな形態のエンパワーメントが起きた研究

# B.ii. Some cases involving EV and CA

- Approach #2: Central capabilities:
- 1. Life.
- 2. Bodily Health.
- 3. Bodily Integrity.
- 4. Senses, Imagination, and Thought.

- 5. Emotions.
- 6. Practical Reason.
- 7. Affiliation.
- 8. Other Species.
- 9. Play.
- 10. Control over one's Environment.

- アプローチ2: 中心的潜在能力． (Nussbaum).
- 1. 生命
- 2. 身体的健康
- 3. 身体的保全
- 4. 感覚・想像力・思考
- 5. 感情
- 6. 実践理性
- 7.連帯
- 8. 自然との共生

- 9. 遊び
- 10. 環境のコントロール（政治的、物質的）

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# B.ii. Some cases involving EV and CA

- Approach #2: Central capabilities (Nussbaum).

  - Most important impact often described in terms of:

    - life (5), bodily health (7), bodily integrity (3), senses, imagination, thought (7), emotions (4), practical reason (5), affiliation (7), control over one's environment (6).

  - In many cases epistemic justice is in play.

- アプローチ2: 中心的潜在能力 (Nussbaum).

  - もっとも重要なインパクトは以下について

    - 生命 (5), 身体の健康 (7), 身体の完全性 (3), 感覚, 想像力, 思考 (7), 感情 (4), 実用的な理性 (5), 帰属 (7), 環境に対する決定権 (6).

  - 多くの場合において、認知上の正義が影響を及ぼしている。

# B.ii. Some cases involving EV and CA

- Comments:

  - Not committed to Nussbaum's approach (just to test the approach).

  - More theoretical work needed on the nature of societal impacts of research from the perspective of capabilities (e.g. as done by Forbat and Vargas concerning technology).

  - Is it possible to map different types of research to different levels (nodes) in the capability model as presented by Robeyns (2005 and 2017)?

- コメント

  - ヌスバウムのアプローチにとらわれない (アプローチを試すのみ)。

  - 潜在能力の観点から研究の社会的インパクトの性質に関して、より多くの理論的研究 が必要(例：Forbat and Vargasの技術論)。

  - 研究の様々な型を、Robeyns(2005, 2017)が提示した潜在能力モデルにおける様々な段階（節）にマッピングすることは可能だろうか。

Figure 2.1 A stylised visualisation of the core concepts of capability theories
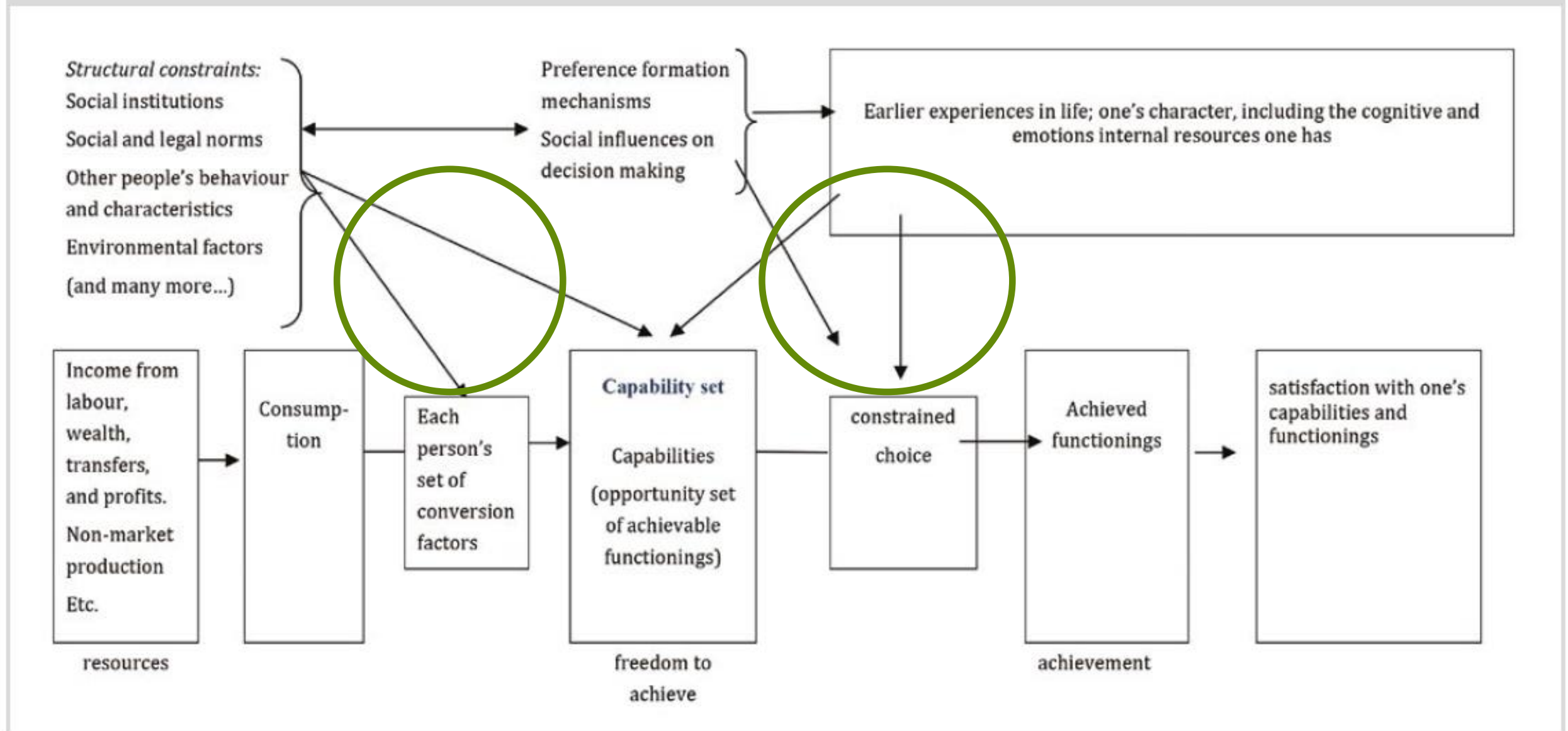
Source: Based on Robeyns (2005b), updated and expanded.

# B.iii. Capabilities and/as societal impact of research
# 研究の社会的インパクトと／としての潜在能力

- Case I: Research on the nation state in Iceland.

  - Spanning a whole research career; multiple projects, students, societal interaction, …

  - Can be convincingly argued that it has changed the public perception and the public debate on the nation state.

  - A positive capability?

- Contra: Nationalistic research into the middle ages …

- Case I: アイスランドにおける国民国家に関する研究

  - 全研究キャリアを通じて、複数のプロジェクト、学生、社会的交流…

  - 国民国家に関する世論と議論を変えたと説得力を持って言える。

  - ポジティブな潜在能力？

- 逆に：民族主義的研究から中世へ…

# B.iii. Capabilities and/as societal impact of research

- Case II: Sign language research in Iceland.

- In 2011 a new law on the status of spoken Icelandic and Icelandic sign language was adopted, giving Icelandic sign language an equal status to spoken Icelandic.

- Other impacts:
  1) a different and more robust debate about sign language as a language;
  2) better self-understanding of sign language users with less risk of abuse;
  3) more self-confident deaf students proud of their own language;
  4) sign language more obvious in the public space and more accepted.

- Case II: アイスランドにおける手話研究

- 2011年、アイスランドの口語の地位に関する新法が制定され、アイスランドの手話に口語と同じ地位が与えられた。

- その他のインパクト:
  1) 言語としての手話に関してこれまでなかった議論が展開された;
  2) 誤用のリスクが少なくなり、手話話者の自己理解が深まった;
  3) 自分の言語に誇りを持つ聴覚障害の学生が増えた;
  4) 手話が公共空間でもより明らかになりより受け入れられやすくなった。

# B.iii. Capabilities and/as societal impact of research

- Question 1:

  - Is it possible to identify capabilities and/or functionings for which your research is important?

- Question 2:

  - Can CA serve to develop a new vocabulary for societal impact of reserach and develop a new narrative approach?

- Question 3:

  - Can this potentially have an effect on research policy and impact evaluations (liberation from the tyranny of metrics)?

- Question 1:

  - あなたの研究がそのために重要な潜在能力と（または）機能を特定することはできますか。

- Question 2:

  - 潜在能力アプローチは研究の社会的インパクトのための新しい語彙を開発し、新しい語りのアプローチを開発するのに役立つと思いますか。

- Question 3:

  - これは潜在的に研究政策やインパクト評価に影響を与えることができるでしょうか（指標の横暴からの解放）。

# Appendix: Nussbaums 10 capabilities (1)

1. Being able to live a life worth living of normal length.

2. Being able to have good health, nourishment and shelter.

3. Being able to move freely and have sovereignty over your body.

4. Being able to use your senses, imagination and thought in a truly human way.

5. Being able to have emotional attachment to people and things outside yourself (to love, grieve, to feel anger …)

1. 正常な長さの生きるに値する人生を全うすること。

2. 健康で栄養を摂取でき住む場所があること。

3. 自由に移動でき、自分の身体の決定権があること。

4. 感覚、想像力、思考を真に人間らしい方法で使うことができること。

5. 自分以外の人や物に愛情を持てること（愛すること、嘆くこと、怒ることなど）

# Appendix: Nussbaums 10 capabilities (2)

6. Being able to reflect in a critical way about the planning of your life.

6. 自分の人生の計画について批判的に熟考することができること。.

7. Being able to live with and show concern for others; having the social basis of self respect and non-humiliation.

7. 他人とともに暮らし、思いやりを持つことができること：自尊心を持ち、屈辱を受けることのない社会的基盤を持つこと。

8. Being able to show concern for other species.

8. ほかの種（動物、植物、自然界）に関心を持てること。

9. Being able to laugh, play and have fun.

9. 笑い、遊び、楽しむことができること。

10. Being able to make political choices concerning your life; being able to hold property and seek employment.

10. 自分の生活にかかわる政治的選択をすることができる：財産を持ち雇用を求めることができること。

# Appendix: Fricker's epistemic contribution

- Central human capability #11: Epistemic contribution.

  - "The general idea that human well-being has an epistemic dimension depends on the idea that functioning not only as a receiver but also a giver of epistemic materials is an aspect of human subjectivity that craves social expression through the capability to contribute beliefs and interpretations to the local epistemic economy." (Fricker 2015)

- 中心的人間の潜在能力　#11: 認知的貢献.

  - 「人間の福利が認知的側面を持つという一般的な考え方は、次の考え方に依存している。すなわち、認知的題材の受け手としてだけでなく贈与者として機能することが、地域の認知的経済に対する信用と解釈に貢献するケイパビリティ（潜在能力）を通した社会的表現を渇望する人間の主観性の一側面であるという考え方に依存している (Fricker 2015)。

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