

BANFF, CANADA September 7–11, 2014

The International School on Research Impact Assessment

Accountability

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Hosted by:



In partnership with:



Learning outcomes

- **Recall and describe** the Accountability purpose
- **Select** when Accountability is the primary assessment purpose that matches the context and intended use



Assessment purpose



Accountability defined

“to show that money and other resources have been used efficiently and effectively, and to hold [researchers] to account”



Source: RAND Europe, 2013, Measuring research: A guide to research evaluation frameworks and tools.



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Accountability characteristics

Evidence

External Facing

Comparisons

Transparent



The drivers

- Demonstrate
 - Transparency
 - Public reporting on results
- Capture value for money
 - Relevance and performance
- Link to results based budgeting
 - Planning, budget, and performance



Cecile Comeau, cancer survivor



AIHS: Application in practice

Interdisciplinary Teams Grants Program (ITGP)



“An idea is something an individual comes up with, but putting ideas into testing or practice requires teams. Anybody who tries to take a good idea across the goal line on their own will likely be held up at the one-yard line.”

Dr. Sam Weiss, 2010 Gairdner Award Recipient



Phased approach

- 1 Assess environment and need
- 2 Align strategically
- 3 Generate and select impacts and indicators
- 4 Select design and methods
- 5 Develop common tools and processes
- 6 Implement
- 7 Review and refine



1 Assess environment and need

METHODOLOGY

- Mixed method
- Modified systematic literature review
 - 60 articles
- Benchmarking exercise
 - 9 Interviews with researchers & funding organizations

RESULTS

- Emerging discipline within the science of science literature
- 6 themes emerged from the literature (theory, training, knowledge production, evaluation, literature reviews, facilitators and constraints)
- Stakeholders identified need for more support as well as address the incentive systems in universities



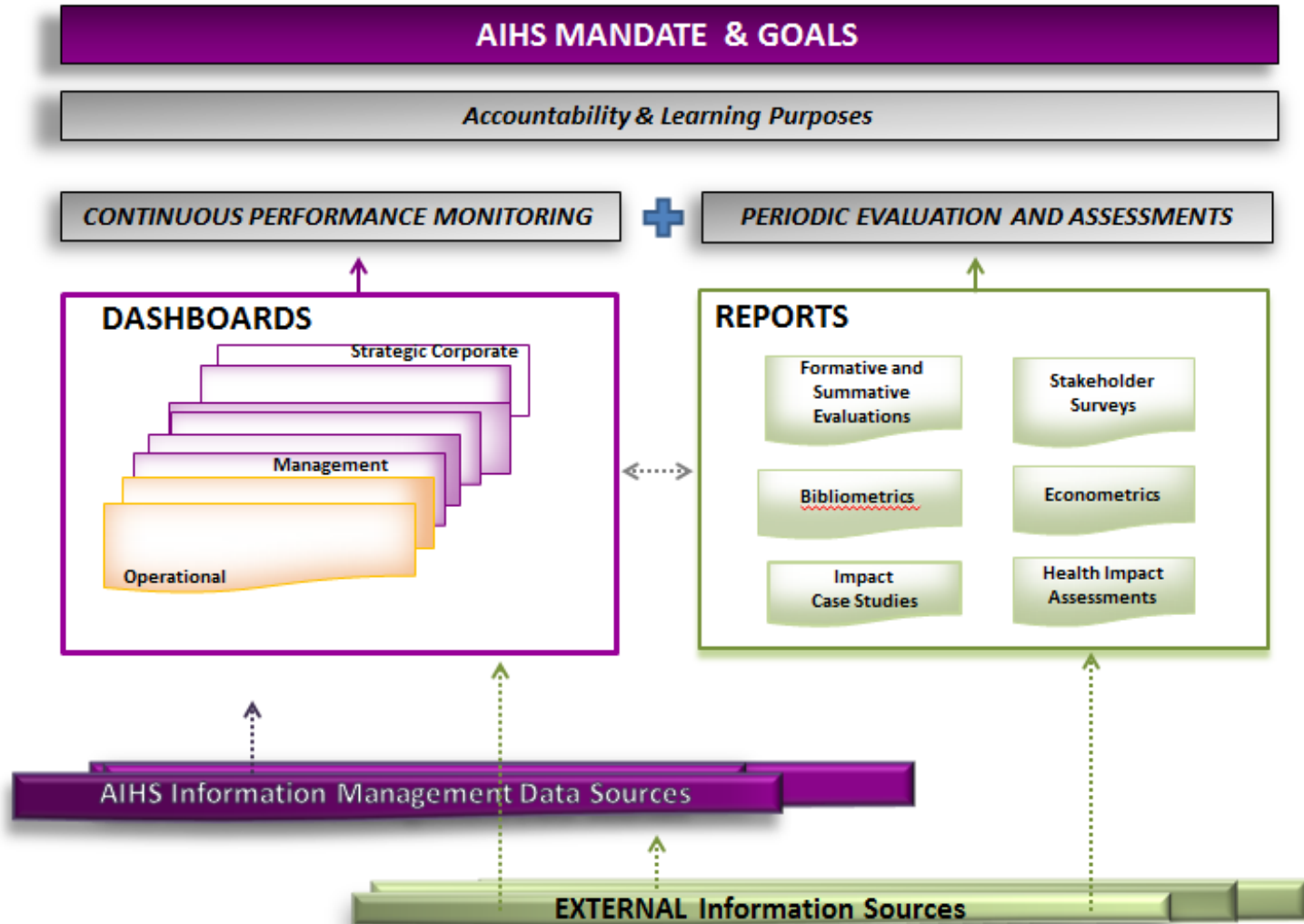
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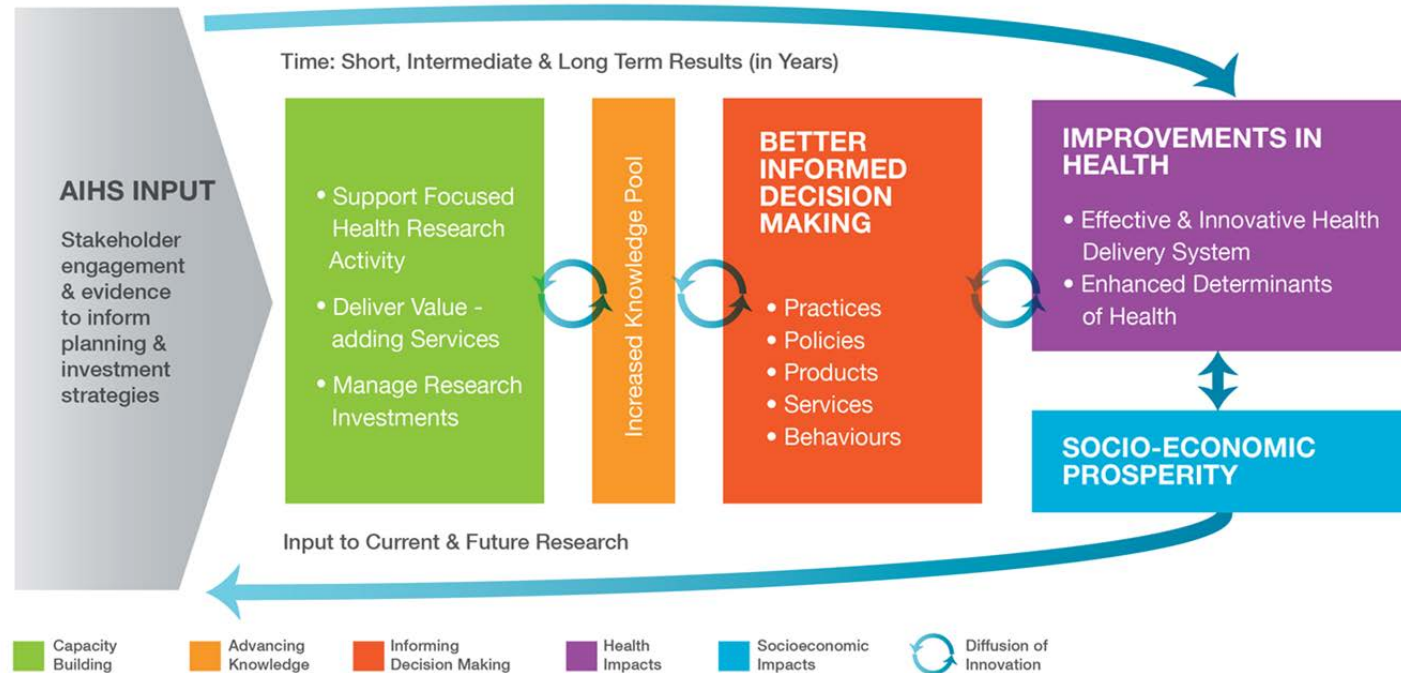
Align strategically: Portfolio



3 Generate impacts & indicators

- Select impacts for assessment

AIHS Mission & Vision



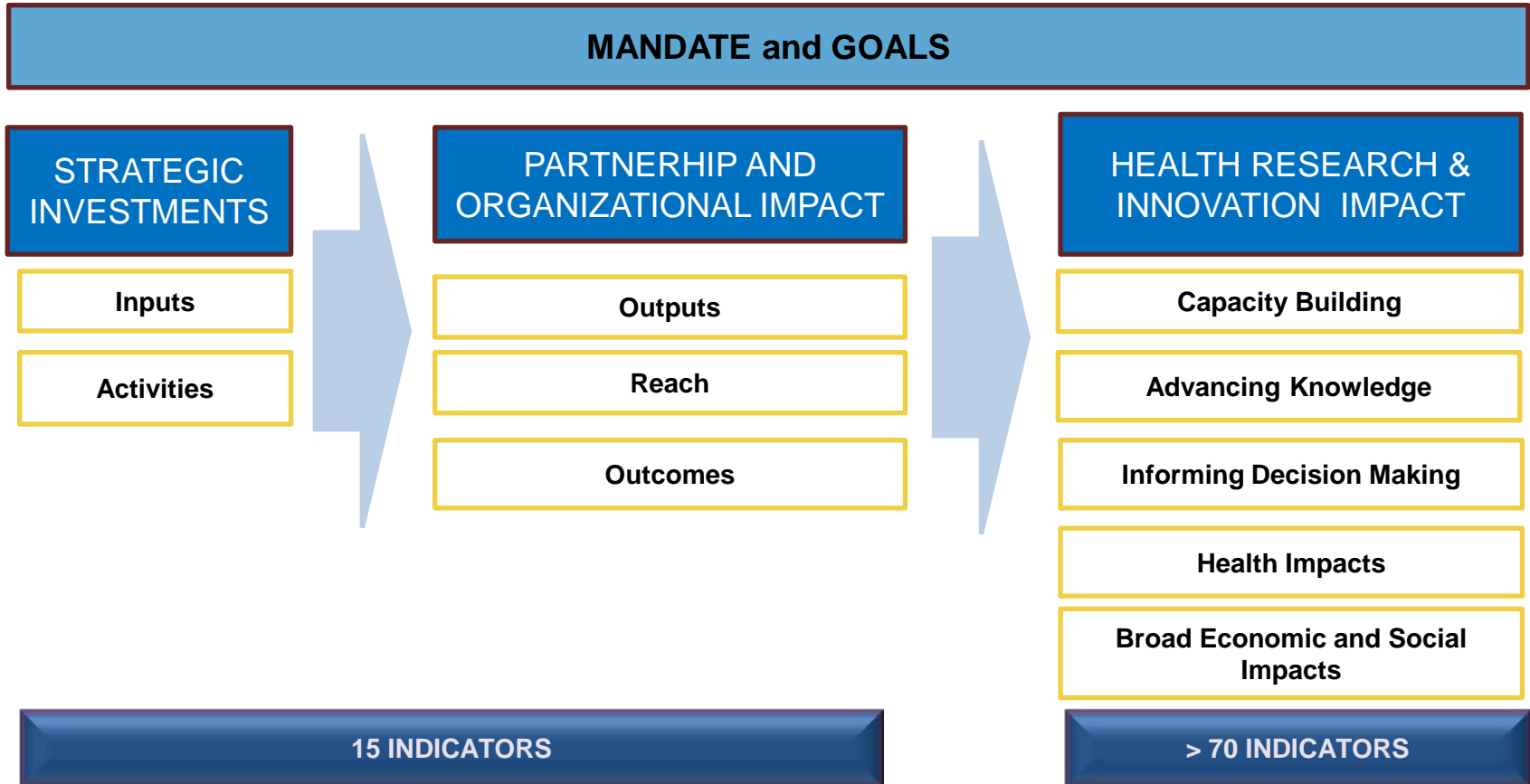
Routine Monitoring and Evaluation

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3 Generate impacts & indicators

- Performance domains and key performance indicators



3 Generate impacts & indicators

AIHS MANDATE



ITGP Goals	Sample of Key Performance Indicators
1. Support interdisciplinary and multi-institutional research teams	<ul style="list-style-type: none"> • # / % of highly skilled people (HSP) supported across institutions • Leveraged \$
2. Provide interdisciplinary training and mentorship opportunities	<ul style="list-style-type: none"> • #/% and type of trainees supported • Description of training & mentorship opportunities
3. Support quality research using collaborative team approaches	<ul style="list-style-type: none"> • #/% of peer-reviewed publications • #/% and type of collaborations developed
4. Timely transfer and knowledge exchange with end-users to improve health/healthcare systems	<ul style="list-style-type: none"> • #/% and type of outreach activities • Progress rubrics for informing decisions • #/% and type of health impacts • #/% and type of commercialization activities

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Select design and methods

Pre/Post Design	
Quantitative & Qualitative Methods	Data Sources
<ul style="list-style-type: none"> Document Review 	<ul style="list-style-type: none"> Researcher reports
<ul style="list-style-type: none"> Data Mining 	<ul style="list-style-type: none"> Grants management & financial systems
<ul style="list-style-type: none"> Survey (rubrics) 	<ul style="list-style-type: none"> Researchers annual report Stakeholder Survey
<ul style="list-style-type: none"> Bibliometrics 	<ul style="list-style-type: none"> PubMed, Web of Science
<ul style="list-style-type: none"> Econometrics 	<ul style="list-style-type: none"> Various (e.g. Statistics Canada; AUTM Survey, PATSTAT)
<ul style="list-style-type: none"> Case Studies 	<ul style="list-style-type: none"> Researchers annual report, programme management input and researcher interviews
<ul style="list-style-type: none"> Expert Judgement 	<ul style="list-style-type: none"> Peer Review
<ul style="list-style-type: none"> Interviews 	<ul style="list-style-type: none"> Stakeholder Interviews



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Develop common tools and processes

ITG Tool Box

- Logic model templates
- Case study template
- Balanced scorecard strategy map
- Researcher annual report portal
- User guidelines
- Cascading dashboards and new reporting tools



New Processes

- Data collection
- Quality assurance protocols
- Communications and reporting



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6 Implement: Dashboard

- Sample performance results (ITGP, 2008-14)

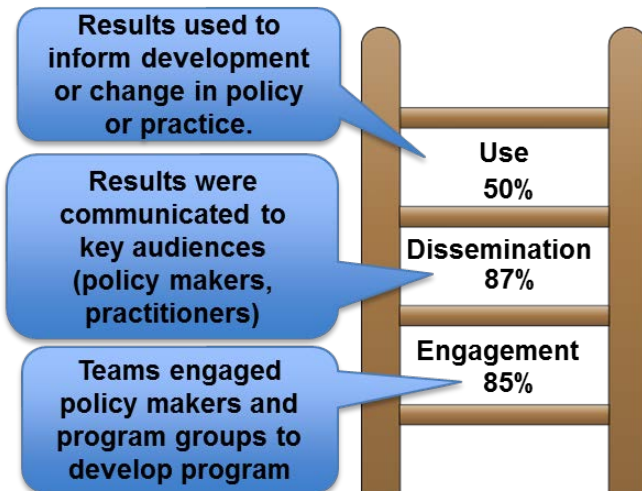
LEVERAGED FUNDING (Millions)



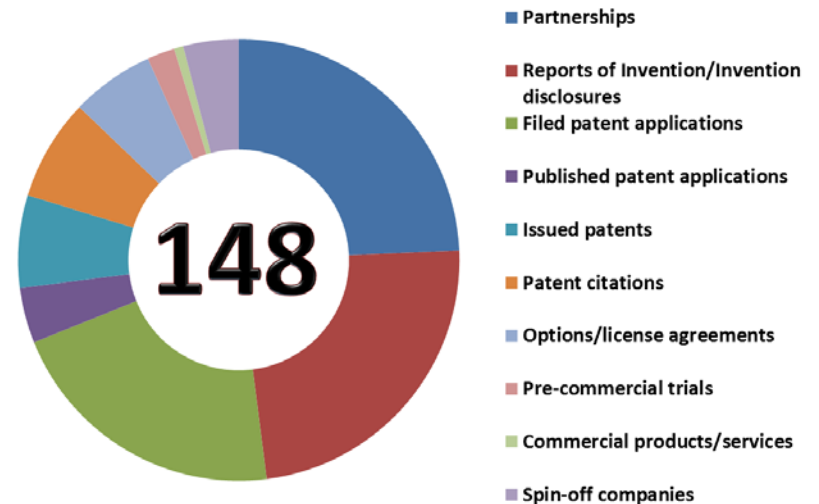
CAPACITY BUILDING



INFORMING DECISION MAKING



COMMERCIALIZATION



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6

Implement: Impact story

- Case Study: Smart Neural Prostheses

\$5m AIHS Investment

17 Team Members

~8:1 Leveraged \$ Ratio

202 Peer-reviewed Publications

~21 Trainees Supported Annually

28 Tech Transfer Activities

1 Spin-off
Prev Biotech, Inc.

1 Product
Smart-e-Pants™



Impacts

Patient satisfaction

Reduced incidence of pressure ulcers expected

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6 Implement: Periodic evaluation

- Formative evaluation results

METHODOLOGY

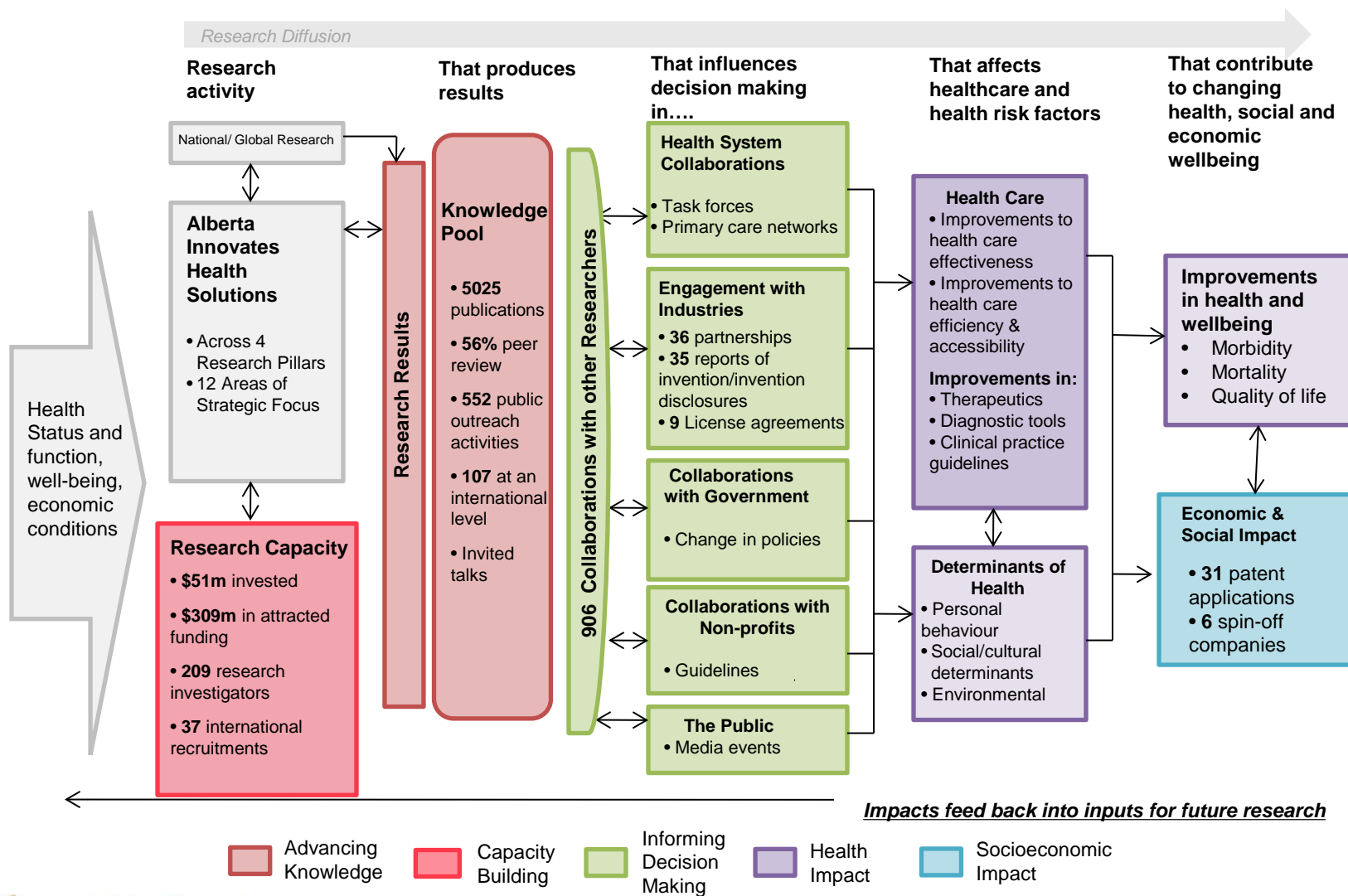
- Based on balanced scorecard and ITGP's Evaluation Framework
- Document reviews
- Survey of the Co-Leads of all Teams
- Interviews with multiple ITGP stakeholders (n=30)

RECOMMENDATIONS

- Formalize ITGP's leadership/programme management structure
- Address administrative and inter-institutional challenges
- Communicate criteria and process for progress review
- Communicate future directions for ITGP



6 Implement: Impact indicators



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Review and refine

- Lessons learnt
- Continuous improvement
- Next steps



Key messages

- Accountability requires evidence and transparent reporting
- Mission driven assessment requires strategic alignment and customization of measurement
- Accountability complements analysis and learning in driving to improvement
- Teams and collaborative funding mechanisms require alternative metrics to demonstrate contribution and shared impacts



Recommended readings

- Graham, K.E.R., et al. (2012). Evaluating health research impact: Development and implementation of the Alberta Innovates – Health Solutions impact framework. *Research Evaluation*. 21(5): 354-367
<http://rev.oxfordjournals.org/content/early/2012/11/14/reseval.rvs027>
- Canadian Academy of Health Sciences (CAHS). 2009. *Making an impact: A preferred framework and indicators to measure returns on investment in health research*. <http://www.cahs-acss.ca/making-an-impact-a-preferred-framework-and-indicators-to-measure-returns-on-investment-in-health-research-8/>
- Mayne, J. (2008). *Contribution analysis: an approach to exploring cause and effect*. The Institutional Learning and Change Initiative, ILAC Brief No. 16.
http://www.cgiar-ilac.org/files/publications/briefs/ILAC_Brief16_Contribution_Analysis.pdf
- Guijt, I. (2010). Accountability and Learning. In *Capacity Development in Practice*. (pp. 277-291). London, UK: EarthScan. (Available at: http://betterevaluation.org/resource/overview/accountability_and_learning)
- Treasury Board of Canada Secretariat. Standard on Evaluation for the Government of Canada <http://www.tbs-sct.gc.ca/pol/doc-eng.aspx?id=15688>

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Thank you!

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