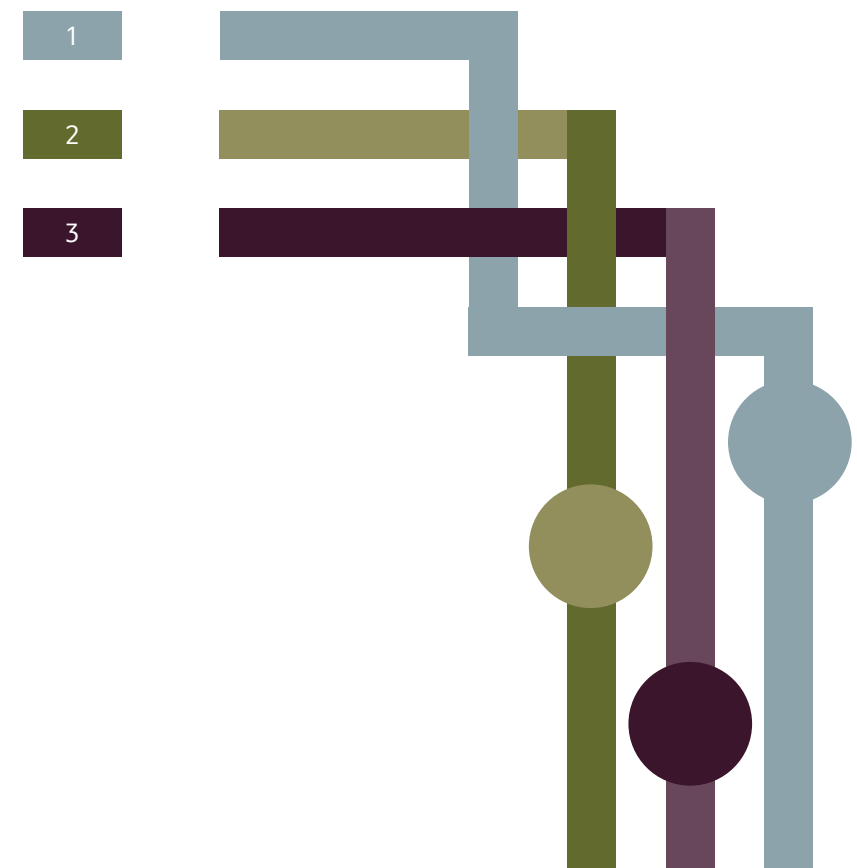


RESEARCH IMPACT ASSESSMENT BLOCK 1, 2 & 3

HOSTED BY

**novo
nordisk
fonden**

FOUNDING ORGANISATIONS





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Blocks at ISRIA



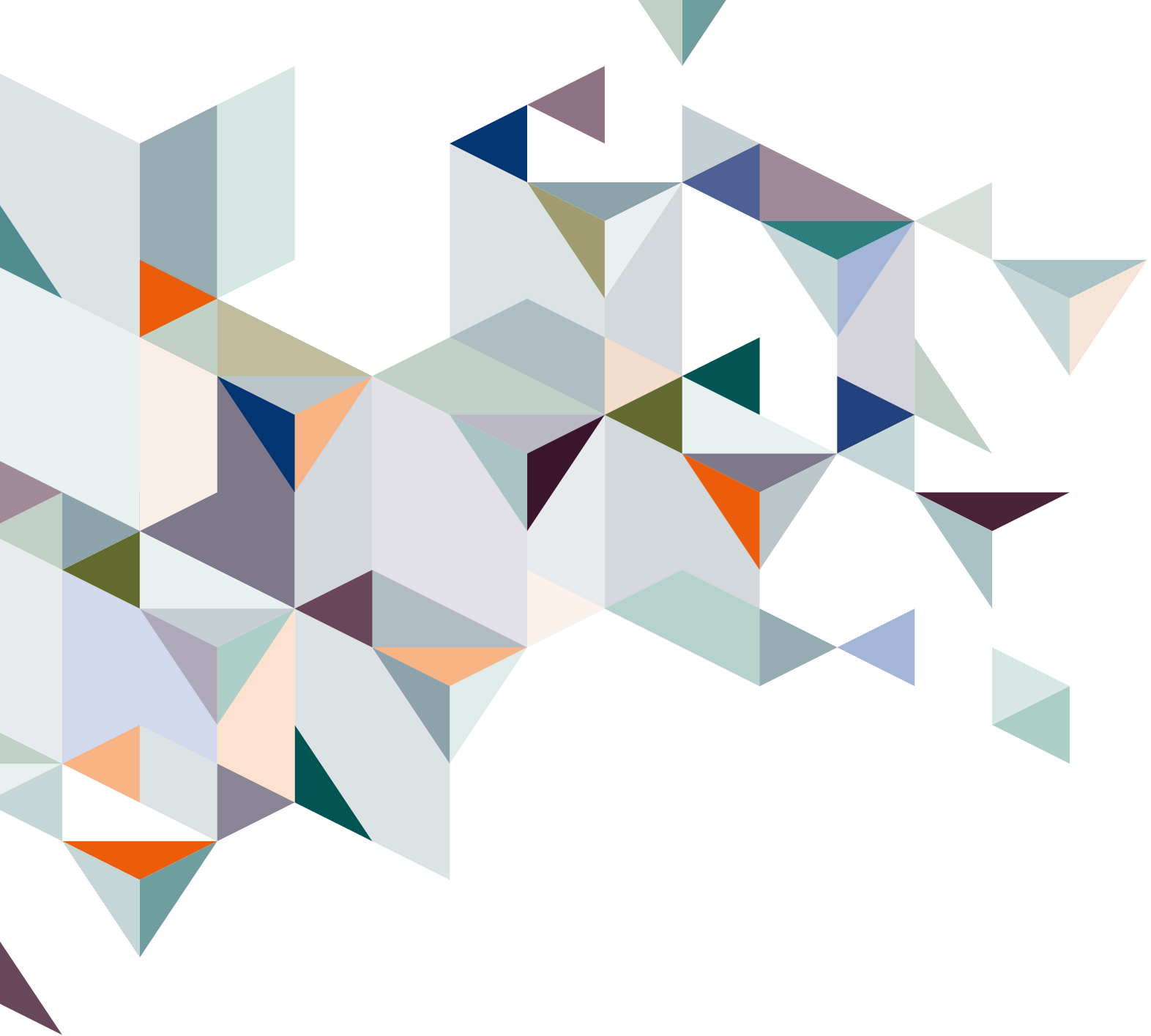
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Anne-Maree Dowd, CSIRO
Kathryn Graham, Alberta Innovates

WELCOME FROM THE DIRECTORS

Welcome to the 2017 International School on Research Impact Assessment (ISRIA), at Favrholm, Denmark. On behalf of the Novo Nordisk Fonden and the Founding partners, we hope that your week with us is full of learning, network building and sharing of knowledge and stories.

ISRIA was created in response to a growing demand for skilled people who can demonstrate the impact of research investments and activities, so the aim of course is:

- to empower you to assess, measure and optimise research impact with a focus on bio-medical and health sciences;
- to share the breadth of existing frameworks, tools, approaches with you; and knowledge about research impact assessments; and
- to increase collaborative capacity, networks and team building among a generation of research and development decision-makers.

The 'science of science' is a growing discipline that is interested in science and innovation, research ecosystems and the effective management and administration of research funding. Understanding 'what works' in research funding is fundamental to the successful construction of knowledge-based societies and economies. This requires practitioners to have the ability to measure the impact of research.

The importance of research impact assessment is growing as organisations are required to be accountable for public and donor money invested in research, to analyse and learn how to fund research effectively, to advocate for optimising future R&D investments, to allocate research funds for optimising returns, and to maximise the value for the money invested.

The incorporation of RIA into the day-to-day operations of funders and researchers is still scarce, so we look forward to you joining our growing network of ISRIA Alumni and together building the desire, capacity, quality and demand for RIA internationally.



DR. RIKKE NØRDING CHRISTENSEN
2017 ISRIA Director
Scientific Officer
Impact Assessment
Novo Nordisk Fonden

A handwritten signature in black ink, appearing to read 'Rikke Nørding Christensen'.



DR. GERT V BALLING
2017 ISRIA Director
Senior Scientific Officer
Impact Assessment
Novo Nordisk Fonden

A handwritten signature in black ink, appearing to read 'Gert V Balling'.



ISRIA 2017 PROGRAM







SUNDAY OCT. 8

| TIME | Activity |
|---------------|-------------------------------------|
| 13.00 - 14.00 | Registration |
| 14.15 - 15.30 | Meet the School and Connection Café |
| 15.30 - 17.15 | Get to know Favrholt |
| 17.15 - 18.00 | Break |
| 18.00 - 22.00 | Welcome dinner at Favrholt |
| | Dinner speech and Reception |








MONDAY OCT. 9

| TIME | Activity |
|---|---|
| 07.00 - 07.45 | 4 km trail jogging/walk and YOGA |
| 07.30 - 08.30 | Breakfast |
| 08.30 - 08.45 | Welcome and Orientation |
| BUILDING BLOCK 1 WHAT IS RESEARCH IMPACT - UNDERSTAND THE CONTEXT | |
| 08.45 - 09.30 | What is research impact and why assess it? Jonathan Grant |
| 09.30 - 10.30 | Conceptualising research impact Jonathan Grant |
| 10.30 - 11.00 | Refreshment Break |
| BUILD YOUR EXPERTISE 1: | |
| 12.30 - 13.30 | Lunch |
| BUILDING BLOCK 2 IDENTIFY THE ASSESSMENT PURPOSE | |
| 13.30 - 15.30 | Engaging Stakeholders to understand their needs Saba Hinrichs-Krapels , Paula Adam |
| 15.30 - 16.00 | Refreshment Break |
| 16.00 - 16.30 | Assessment Questions Deanne Langlois-Klassen |
| BUILD YOUR EXPERTISE 2: | |
| 17.30 - 18.30 | Break |
| 18.30 - 20.30 | Dinner at Favrholt |
| 20.30 - 21.30 | Chill-out |

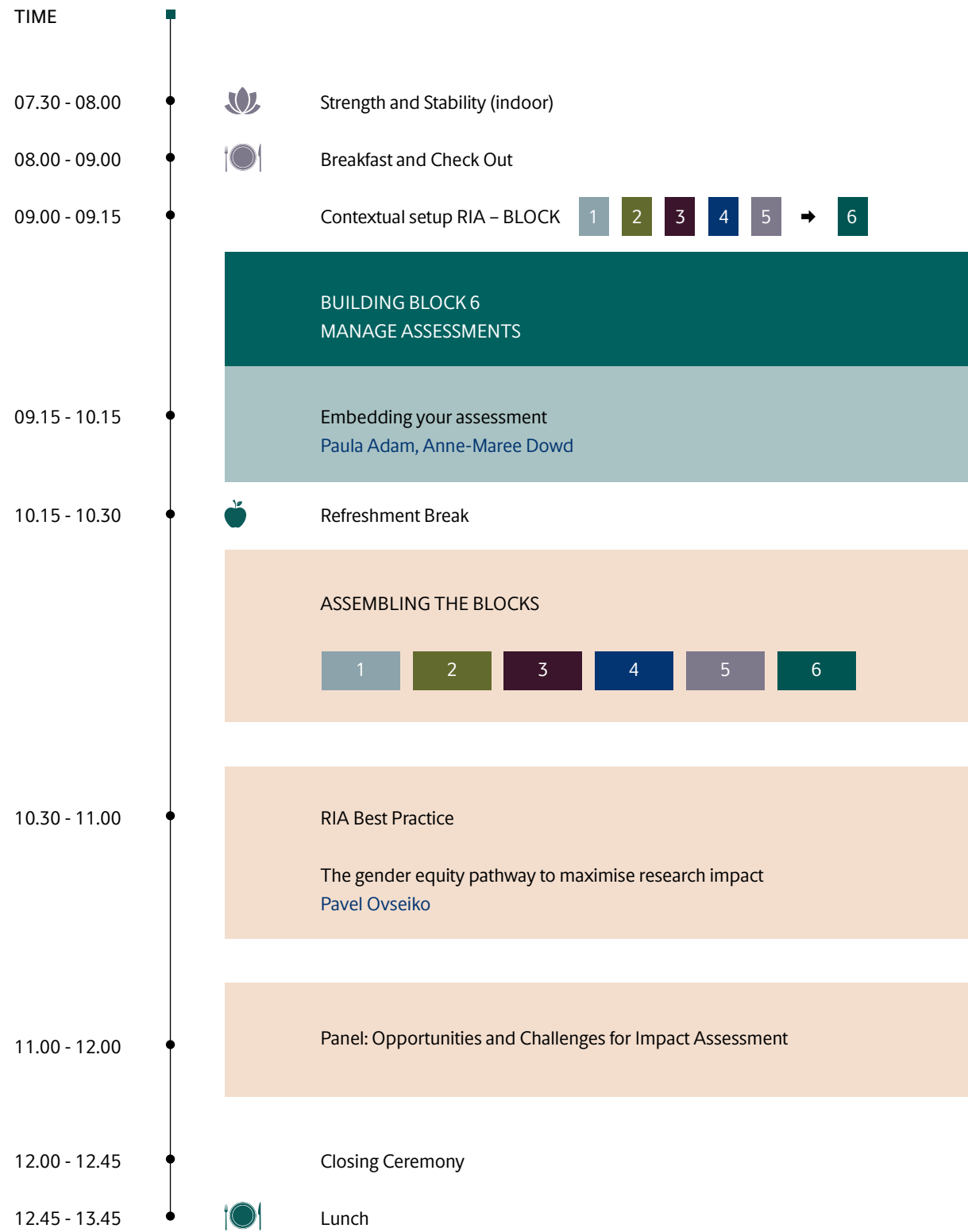
TUESDAY OCT. 10

| TIME | ACTIVITY |
|---|--|
| 07.00 - 07.45 |  Circuit program (outdoor) |
| 07.30 - 08.30 |  Breakfast |
| 08.30 - 08.40 | Contextual setup RIA – BLOCK 1 2 → 3 4 |
| BUILDING BLOCK 3 MEASURE: DEFINE INDICATORS OF SUCCESS | |
| 08.40 - 10.00 | Indicators of Success Anne-Maree Dowd, Kathryn Graham |
| 10.10 - 10.25 | Group Photo |
| 10.25 - 10.45 |  Refreshment Break |
| 10.45 - 12.00 | BUILD YOUR EXPERTISE 3: |
| 12.00 - 13.00 |  Lunch |
| BUILDING BLOCK 4 DEVELOP THE DESIGN, METHODS AND DATA COLLECTION | |
| 13.00 - 15.15 | Methods Alexandra Pollitt, Anne-Maree Dowd, Rasmus Heltberg Saba Hinrichs-Krapels, Maite Solans Domenech |
| 15.15 - 15.30 |  Refreshment Break |
| 15.30 | Bus from Favrholt |
| 15.30 - 17.30 |  Visit to Frederiksborg Castle |
| 17.30 - 19.00 | Break |
| 19.00 - 20.30 |  Dinner at Favrholt |
| 20.30 - 22.00 |  Bibliometrics and Cocktails Jesper W. Schneider |

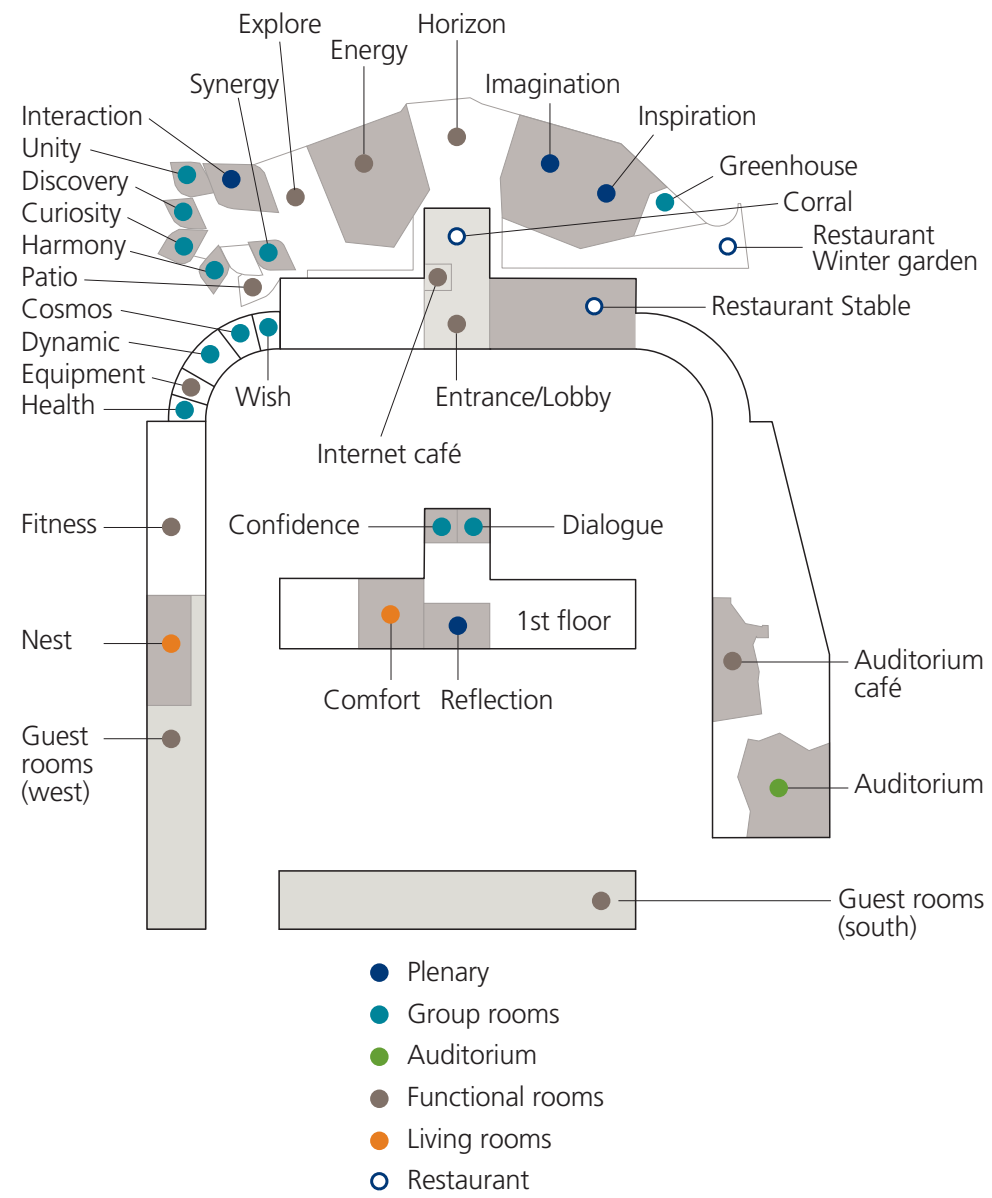
WEDNESDAY OCT. 11

| TIME | ACTIVITY |
|--|--|
| 07.00 - 07.45 |  Spinning (indoor) |
| 07.30 - 08.30 |  Breakfast |
| 08.30 - 08.45 | Contextual setup RIA – BLOCK 1 2 3 → 4 5 |
| 08.45 - 09.45 | Economic Returns Jonathan Haughton |
| 09.45 - 10.45 | Social return on investment – impact beyond economics Volker Then |
| 10.45 - 11.15 |  Refreshment Break |
| 11.15 - 12.30 | BUILD YOUR EXPERTISE 4: |
| 12.30 - 13.30 |  Lunch |
| BUILDING BLOCK 5 COMMUNICATE AND USE FINDINGS | |
| 13.30 - 15.30 | Communicating with decision-makers: Developing an effective impact narrative Alexandra Pollitt, Saba Hinrichs-Krapels |
| 15.30 - 15.45 |  Refreshment Break |
| 15.45 - 16.45 | Break |
| 16.45 | Bus to Copenhagen |
| 18.00 |  Dinner at Gl. Strand |
| 20.00 |  Visit to the Royal Theater (dress code: casual) |
| 22.30 | Home |

THURSDAY OCT. 12



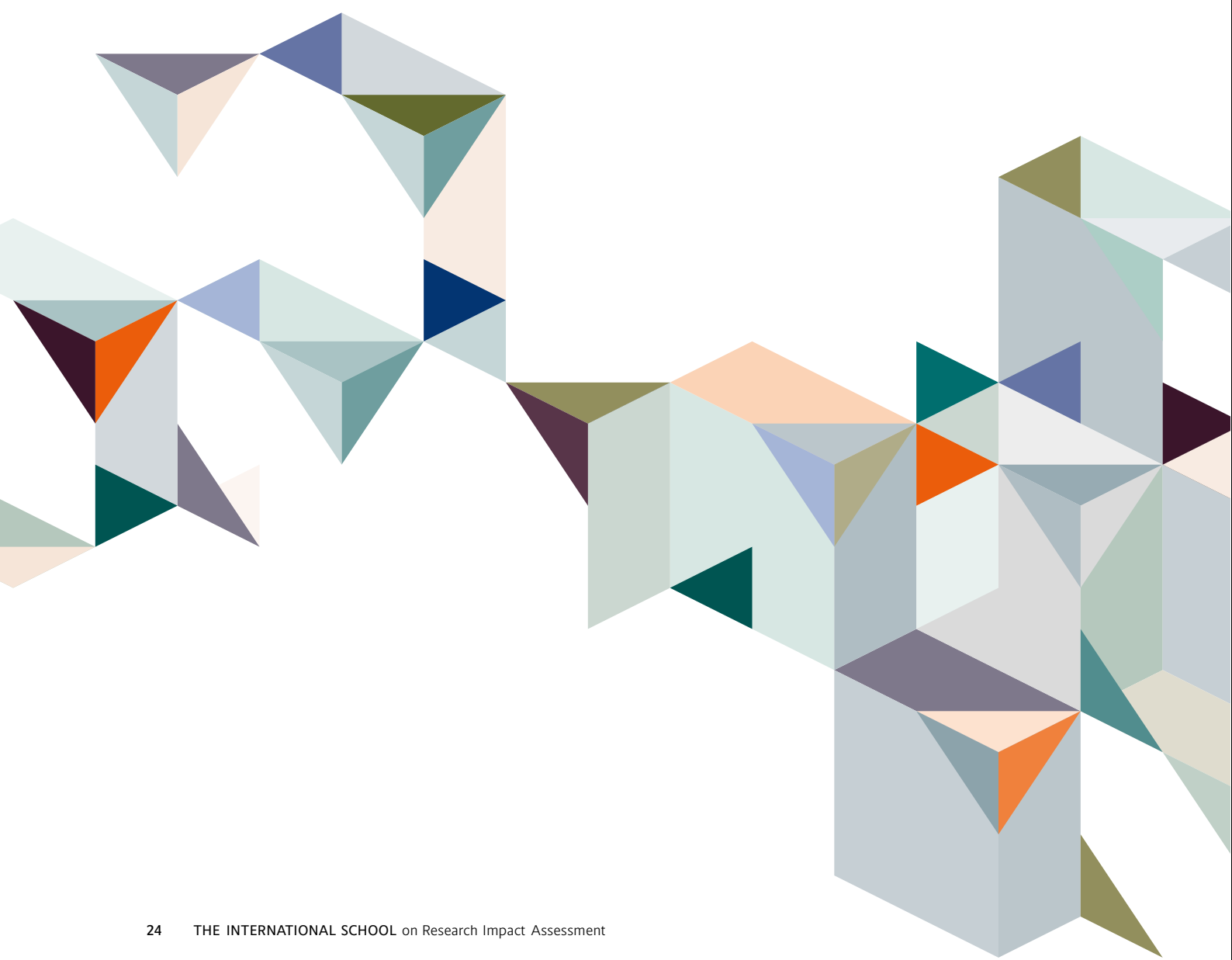
FAVRHOLM



FAVRHOLM







FACULTY,
EXTERNAL SPEAKERS,
ORGANIZERS &
SUPPORT PERSONNEL

FACULTY



DR. PAULA ADAM
Co-Chair and Co-Founder

Dr. Paula Adam is responsible for Research Assessment at the Agency for Health Quality and Assessment of Catalonia (AQuAS), Spain. She leads the ISOR Group which carries out studies on the impact of health sciences research in Spain. Paula also coordinates a commission of accreditation and assessment of the Spanish health research institutes associated with hospitals. Paula holds a PhD in Economics from the European University Institute in Florence, Italy.

Research key projects include:

- Assessment of the impact of the Spanish and Catalan health sciences research institutes for accountability and allocation purposes.
- Assessment of the impact of different research programmes - the Charity Foundation research fund and Clinical and Health Services Research Call in Catalonia.
- Creation of a registry database which collects detailed information on research inputs and throughputs (e.g. clinical trials) for all Catalan biomedical research institutes and centres.

Speaker at ISRIA
BLOCK 6:
EMBEDDING YOUR ASSESSMENT

▶ **PAULA ADAM**
Agency for Health Quality and Assessment of Catalonia, **ES**

FACULTY



DR. OMAR BOUKHRIS
Member for the Middle East and Director, 2015

Dr. Omar Boukhris joined the Qatar National Research Fund (QNRF) in 2007 where he has been instrumental in developing policies and managing grants. He currently holds the position of Director of Post Award at QNRF, where his responsibilities include the management of more than a billion USD worth of research projects in the technical, legal, compliance and financial sides as well as the assessment of research impact.

Omar was also the Program Manager for Civil & Environmental Engineering related research projects, where he focused on alignment with the national priorities with various industries. He is a frequent speaker in international conferences and events and has published various papers in Civil and Environmental Engineering topics.

Dr. Boukhris holds Masters and PhD degrees in Civil and Environmental Engineering, where the latest was dedicated to investigating the impact of climate change. Through his studies and work he has held several research positions in North American and European renowned institutions, including the Swiss Federal Institute of Technology at Zurich and the European Commission.

Speaker at ISRIA
PANEL:
OPPORTUNITIES AND CHALLENGES FOR IMPACT ASSESSMENT

▶ **OMAR EL FAROUK BOUKHRIS**
Director, Post Award, Qatar Foundation, **QA**

FACULTY



DR. ANNE-MAREE DOWD
Executive Manager, Planning, Performance and Evaluation, CSIRO

Dr Anne-Maree Dowd is the Executive Manager for the Planning, Performance and Evaluation Team at CSIRO. She provides both internal and external stakeholders with all required performance reporting, is responsible for all internal science prioritisation, investment and review processes for CSIRO as well as implementing the organization's Impact Framework.

Anne-Maree holds a PhD in Organisational Psychology from the University of Queensland and has 16 years of experience in scientific research with expertise in project and capability management, social network analysis, community engagement, public awareness and acceptance of energy technologies (at the international level), behaviour change and transformational adaptation decision-making in Australian Primary Industries.

Recent key projects include:

- Project Leader of CSIRO's Impact Case Studies and "value" report.
- Global knowledge and awareness of Carbon Dioxide Capture Storage - Manager of the Heads of Agreement contract, Lead of all international sub-contractors, and Project Leader of all Australian research projects and Lead Research Communicator.
- Project Leader for the Transformational Adaptation of Primary Industries project.

Speaker at ISRIA
BLOCK 3:
INDICATORS OF SUCCESS
BLOCK 4:
METHODS
BLOCK 6:
EMBEDDING YOUR ASSESSMENT

▶ **ANNE-MAREE DOWD**
Executive Manager, Planning, Performance and Evaluation, CSIRO, **AU**

FACULTY



DR. KATHRYN GRAHAM
Co-Chair and Co-Founder

Dr. Kathryn Graham is a co-founder of the International School on Research Impact assessment and was Director of the School when it was hosted in Banff in 2014. She is the Executive Director of Performance Management and Evaluation at Alberta Innovates which is a Canadian-based, publicly-funded provincial research and innovation organization.

She has over 20 years of strategic evaluation experience in health care and health research and innovation.

Her expertise is in both developing performance management, evaluation and impact assessment strategies as well as implementing measurement frameworks for various systems, organizations and programs. She and her team customized the implementation of the Canadian Academy of Health Sciences (2009) research impact assessment framework.

Kathryn is an adviser on numerous national and international committees that focus on the evaluation of research and innovation and invited to present nationally and internationally.

Speaker at ISRIA
BLOCK 3:
INDICATORS OF SUCCESS

▶ **KATHRYN GRAHAM**
Executive Director of Performance Management and Evaluation at Alberta Innovates, **CA**

FACULTY



PROFESSOR JONATHAN GRANT
Advisory Chair and Co-Founder

Jonathan Grant is Assistant Principal for Strategic Initiatives & Public Policy, and Professor of Public Policy at King's College London. He was previously Assistant Principal for Strategy, overseeing the development of King's new Strategic Vision 2029. He was also founder Director of the Policy Institute at King's which aims to help secure, maximise and accelerate the translation of academic research to the benefit of policy and practice. His main research interests are on R&D policy and the use of research and evidence in policy and decision making.

Jonathan has significant experience providing analytical support on the formulation and implementation of R&D strategies internationally, including in the UK, Greece, Norway, Qatar, Oman, Australia, Canada and the USA. He was President of RAND Europe between 2006 and 2012 and before that Head of Policy at the Wellcome Trust. Jonathan received his Ph.D from the Faculty of Medicine, University of London and his B.Sc. (Econ) from the London School of Economics.

Recent key projects include:

- Involvement in a series of studies measuring the economic returns from biomedical and health research.
- Led ground breaking study synthesising the c7000 impact case studies submitted to the UK 2014 Research Excellence Framework (REF) using text mining analysis
- Co-authored a book, 'The Drugs Don't Work', on the global threat of antimicrobial resistance.

Speaker at ISRIA

BLOCK 1:

[WHAT IS RESEARCH IMPACT AND WHY ASSESS IT?](#)

BLOCK 1:

[CONCEPTUALISING RESEARCH IMPACT](#)

[KEYNOTE ADDRESS](#)

- ▶ **JONATHAN GRANT**
Assistant Principal, Strategic Initiatives and Public Policy,
Professor of Public Policy at King's College London, **UK**

FACULTY



DR. SABA HINRICHS-KRAPELS
Member for King's College London

Dr. Saba Hinrichs-Krapels is a Senior Research Fellow at the Policy Institute at King's College London. She leads work on research impact assessment, health services and systems policy, and public policies affecting health, and in her role is also involved in providing internal and external training on research impact and communications. Saba has previously worked for RAND Europe and the medical device industry. She holds a PhD in Engineering Design (Healthcare Design) from the University of Cambridge.

Research key projects include:

- Supporting researchers at King's in improving their impact strategies
- Analysis of the c7000 REF 2014 impact case studies submitted as part of the UK higher education assessment for the Higher Education Funding Council for England (2015).
- Analyses on how impact is created from various disciplines and funders (specifically Arts and Culture sector, international development, and the National Institute for Health Research)

Speaker at ISRIA

BLOCK 2:

[ENGAGING STAKEHOLDERS TO UNDERSTAND THEIR NEEDS](#)

BLOCK 4:

[METHODS](#)

BLOCK 5:

[COMMUNICATING WITH DECISION-MAKERS:](#)

[DEVELOPING AN EFFECTIVE IMPACT NARRATIVE](#)

- ▶ **SABA HINRICHS-KRAPELS**
Senior Research Fellow at the Policy Institute at King's College London, **UK**

FACULTY



DEANNE LANGLOIS-KLASSEN
Associate Director

Deanne Langlois-Klassen, Ph.D., Associate Director, Alberta Innovates. Deanne brings broad public and population health experience to the development of systems approaches for the assessment of research and innovation impacts. She also provides research expertise to ensure scientific rigor and appropriate methodological approaches in the assessment of Alberta Innovates cross-sectoral research and innovation investments.

Deanne has a M.Sc. in Medical Sciences (Population Health) and a Ph.D. in Epidemiology from the University of Alberta, Canada in addition to her experience as a physiotherapist and health program manager.

Speaker at ISRIA
BLOCK 2:
ASSESSMENT QUESTIONS

- ▶ **DEANNE LANGLOIS-KLASSEN**
Associate Director, Performance Management & Evaluation at Alberta Innovates, **CA**

FACULTY



DR. PAVEL OVSEIKO
Senior Research Fellow in Health Policy and Management, University of Oxford, and NIHR Oxford Biomedical Research Centre, UK

Pavel leads health policy and management research at the interface between universities and teaching hospitals. He investigates governance, organisational culture, and diversity to maximise social, economic, and scientific impact of health research, education, and patient care.

Pavel completed a DPhil in Social Policy at Jesus College, Oxford, an MSc in Social Work and Social Administration at the Moscow School of Social and Economic Sciences, a postgraduate diploma in Diplomacy at the University of Malta, and a first degree in Economics at the Belarus State Economic University in his native Minsk. He held visiting research fellowships at the Centre for Policy Studies in Budapest and Max Planck Institute for the Study of Societies in Cologne.

Pavel's RIA experience includes both established and emerging research impact assessment methods. He has conducted assessments of bibliometric research outputs, research funding, and collaboration with industry; led a study to establish pilot indicators of economic and societal impact at the University of Oxford Medical Sciences Division; and participated in the preparation, selection, and analysis of impact case studies for the 2014 UK Research Excellence Framework assessment exercise.

Pavel's current RIA projects focus on maximising value from Biomedical Research Centres and assessing gender equity as a means of accelerating innovation and increasing returns on investment in science.

Speaker at ISRIA
BIBLIOMETRICS:
THE GENDER EQUITY PATHWAY TO MAXIMISE RESEARCH IMPACT

- ▶ **PAVEL OVSEIKO**
Senior Research Fellow in Health Policy and Management, University of Oxford, **UK**

FACULTY



ALEXANDRA POLLITT
Member for King's College London

Alexandra Pollitt is a Research Fellow at the Policy Institute at King's College London, where her work focuses primarily on research evaluation and R&D policy. Prior to joining King's, Alex spent six years at RAND Europe, working across a range of policy issues and teaching research methods, communication and project management internationally, including as ISRIA faculty since its launch in 2013. She previously worked in impact assessment, monitoring and evaluation of education programmes for an international NGO; in education assessment in the UK; and in developmental psychiatry research at the University of Cambridge. She holds a MA in Experimental Psychology from Oxford University.

Recent key projects include:

- Co-led an international study mapping the global mental health research funding landscape
- Led a scientometric evaluation of the European Research Council's funded projects
- Involved in a series of studies measuring the economic returns from biomedical and health research
- Compared the relative value researchers and the general public place on different kinds of research impact

Speaker at ISRIA
BLOCK 4:
METHODS
BLOCK 5:
COMMUNICATING WITH DECISION-MAKERS:
DEVELOPING AN EFFECTIVE IMPACT NARRATIVE

- ▶ **ALEXANDRA POLLITT**
Research Fellow at the Policy Institute at King's College London, **UK**

FACULTY



MAITE SOLANS-DOMÈNECH
AQuAS, Spain, Observer

Maite Solans-Domènech is currently a research leader at the Agència de Qualitat i Avaluació Sanitàries de Catalunya (AQuAS), where she participates in the monitoring, evaluation and assessment of the impact of biomedical research. She is currently working on the assessment of the impact of the about 100 million Euros that the citizens of Catalonia donated to the TV3 Telethon in the course of its first 20 editions. She is also leading the research characterisation and assessment of the scientific activities performed in the top-quality Health Research Institutes of Spain according to an accredited ranking.

She has conducted several studies tracing the outcomes of the research funded by AQuAS (accountability in relation to public investment) that have allowed her to use different methodological approaches ranging from the development and application of questionnaires till qualitative methodologies.

She also has worked with different projects related to the elaboration of evidence base reports such as health technology assessments, development of indicators to measure the effectiveness of medical practice, prioritisation of interventions, and the development, implementation and evaluation of metric properties of perceived health questionnaires.

Speaker at ISRIA
BLOCK 4:
METHODS

- ▶ **MAITE SOLANS-DOMÈNECH**
Agency for Health Quality and Assessment of Catalonia, **ES**

EXTERNAL SPEAKER



PROFESSOR JONATHAN HAUGHTON
Professor of Economics at Suffolk University, Boston

Jonathan Haughton is a development economist by training and inclination, his recent work has included impact evaluations of microcredit in Thailand and Vietnam, a study of the Egyptian Social Fund, and estimates of the economic and distributional effects of the tax proposals made by Donald Trump and Hillary Clinton during the 2016 presidential campaign.

His *Handbook on Poverty and Inequality* (with Shahidur Khandker) and book on *Living Standards Analytics* (with Dominique Haughton) have reached a wider audience.

Current projects include helping the National Institute of Statistics of Rwanda with the measurement and analysis of poverty, and a study of the effects of local inequality on entrepreneurship in India. His teaching and research has brought him to about thirty countries.

Jonathan received his PhD in economics from Harvard University, and his B.A. (Mod.) from Trinity College Dublin. He has been a Chartered Financial Analyst since 2002.

Speaker at ISRIA
BLOCK 4:
ECONOMIC RETURNS

- ▶ **JONATHAN HAUGHTON**
Professor at University of Suffolk
PhD. Professor Department of Economics Senior Economist, Beacon Hill Institute, **UK**

EXTERNAL SPEAKER



RASMUS HELTBERG
Lead Evaluation Specialist at the Independent Evaluation Group (IEG) of the World Bank Group

Rasmus Heltberg is a team leader for large complex evaluations and coordinator of IEG's work on partnerships and trust funds. His recent work is focused on the role of self-evaluation and M&E, and on evaluating the World Bank's work on data for development and citizen engagement. He helped oversee external evaluations of the Climate Investment Funds and the Global Partnership for Education.

In his 15 years with the World Bank he has also worked on social protection, social development, adaptation to climate change, and disaster response. He was a member of the core team for the 2014 World Development Report on *Risk and Opportunity: Managing Risk for Development*. His research has been published in a variety of interdisciplinary development journals, including *World Development*, *Journal of Development Studies*, *Environment and Development Economics*, and *Global Environmental Change*.

Rasmus holds a Ph.D. and M.Sc. in Development Economics from the University of Copenhagen and a M.Sc. in Quantitative Development Economics from the University of Warwick.

Speaker at ISRIA
BLOCK 4:
METHODS

- ▶ **RASMUS HELTBERG**
Lead Evaluation Officer with the World Bank's a Independent Evaluation Group, **US**

EXTERNAL SPEAKER



PROFESSOR JESPER W. SCHNEIDER

Professor, Department of Political Science, Danish Centre for studies in Research and Research Policy at Aarhus University

Professor Jesper W. Schneider is international expert in scientometrics, research evaluation, statistics and research integrity. For more than a decade he has done primary research within these areas and at the same time contributed to numerous national and international research evaluations, as well as done advisory work for public science policy authorities and private funders.

He has led or participated in a number of national and international evaluation projects including evaluations of the Norwegian performance-based research funding model, the Danish National Research Foundation's Centres of Excellence, the Danish Research Council for Independent Research, and Danish research performance in the EU framework programs 6 and 7. He is a permanent advisor to the Danish Ministry of Education and Research on issues related to scientometrics and research evaluation.

Jesper W. Schneider holds a PhD in Information Science and has a solid international research profile within Scientometrics and Research Evaluation, publishing in all major international outlets and is editorial board member of two core journals: Journal of Informetrics and Research Evaluation.

Recent key projects include:

- Currently PI of large research project funded by the Danish government entitled: "Practices, Perceptions, and Patterns of Research Integrity" (PRINT). The focus of the project is to study the prevalence, varieties and potential causes of questionable research practices.
- Mapped the performance of Danish neuroscience research

Speaker at ISRIA

BLOCK 4:

BIBLIOMETRICS AND COCKTAILS



JESPER SCHNEIDER

Professor Department of Political Science

Danish Centre for Studies in Research and Research Policy at Aarhus University, **DK**

EXTERNAL SPEAKER



DR. MARK TAYLOR

Head of Impact at the UK's National Institute for Health Research Central Commissioning Facility (NIHR CCF)

Dr. Mark Taylor is Head of Impact at the UK's National Institute for Health Research Central Commissioning Facility (NIHR CCF), which is currently developing a new impact evaluation strategy. Mark has a background in Intellectual Property (IP), innovations and health research management; in the past he has been an IP advisor to NIHR and previously the Managing Director of the Oxford University Hospitals NHS Trust's Biomedical Research Centre. He has sat on the boards of Asthma UK and the Multiple Sclerosis Society.

Mark currently sits on the British Medical Journal's Patient Panel. Mark holds a PhD from the University of Manchester (Faculty of Medicine), PGDip (University of Oxford, Saïd Business School), and PGCert (University of Sheffield, School of Health and Related Research).

Recent key projects include:

- Invention for Innovation (i4i) Evaluation, impact assessment of this key NIHR funding programme, RAND Europe (2015).
- Impact Training, ensuring key staff members at NIHR CCF understood the basic techniques in assessment, King's Policy Institute (ongoing).
- Impact Referencing, ensuring NIHR impact requirements synchronise with other funders and institutions (ongoing).

Speaker at ISRIA

EXTERNAL SPEAKER



MARK TAYLOR

Head of Impact (CCF), National Institute for Health Research (NIHR), **UK**

EXTERNAL SPEAKER



DR. VOLKER THEN

Managing Director of the Centre for Social Investment at Heidelberg University

Dr. Volker Then has been the Executive Director (and founding director) of the Centre for Social Investment at Ruprecht-Karls-University, Heidelberg since July 2006. As of 1994 he served at the Bertelsmann Foundation as their Director Philanthropy and Foundations, building the philanthropy programme of the foundation. Volker Then was, among others, a member of the Governing Council of the European Foundation Centre, Brussels, the International Committee of the Council on Foundations, Washington D.C., and has been a member of the editorial board of the international journal „Alliance“. He is also a board member of several German foundations, e.g. the Manfred-Lautenschläger-Stiftung, and since 2014 has been a member of the German National Advisory Board of the G7-Social Impact Investment Task Force.

The research interests of Volker Then currently focus on social impact measurement, social investment and social innovation, as well as philanthropic strategy development. He has regularly published on these issues. The most recent project is a handbook publication (with co-authors) on “Social Return on Investment - Measuring the Impact of Social Investment” (in an English edition, the German edition was 2015).

Currently he teaches at the University of Heidelberg, the University of Basel (CH), the European Business School, Oestrich-Winkel (Germany) and the North Caucasus Federal University, Stavropol (Russia).

Speaker at ISRIA

BLOCK 4:

SOCIAL RETURN ON INVESTMENT – IMPACT BEYOND ECONOMICS

▶ **VOLKER THEN**

Managing Director of the Centre for Social Investment at Heidelberg University, **DE**

EXTERNAL SPEAKER



DR. THOMAS ALSLEV CHRISTENSEN

Head of Operations, Novo Nordisk Fonden

Thomas Alslev Christensen works as Head of Operations at the Novo Nordisk Fonden as from August 2014. He acts as international STI policy advisor and evaluation expert in international research programmes and policy advisory committees in Germany, Norway, Ireland, the European Commission and Singapore. He is also the chairman of RegLab a national STI-network organisation. He has worked as Head of the Department for Innovation Policy at the Ministry for Science, Innovation and Higher Education 2005-2014 and as Head of Department for analyses on science and innovation 2013-2014. He was the Head of Secretariat at the Danish Council for Technology and Innovation 2006-2014. He has previously worked in the Nordic Council of Ministers, The Ministry of Economic Affairs and the Prime Minister's Office where he was an advisor to the prime minister in European economic and monetary integration and international economic affairs.

Speaker at ISRIA

KEYNOTE ADDRESS

▶ **THOMAS ALSLEV CHRISTENSEN**

Head of Operations, Novo Nordisk Fonden, **DK**

SCHOOL DIRECTOR 2017



DR. RIKKE CHRISTENSEN
School Director 2017

Rikke is Scientific Officer, Impact Assessment, at the Novo Nordisk Fonden. Her main responsibility is managing the Foundations evaluation work, which involves providing evidence to assess the progress, productivity and impact of the NNF's research, reporting, funding, and commissioning research into impact methodology. Rikke has been in this role for several years, helping to set up the impact assessment team at the Foundation. She has played a key role in implementing Researchfish at the Foundation. In addition, she is coordinating NNFs Social Science Research Programme, focusing on the socioeconomic impact of research in Denmark.

She is also part of several networks in Denmark, which have attention on impact assessment and foundations. Prior to joining NNF, she has worked extensively with program evaluation both nationally and internationally.

She spent 7 years in the World Bank working with development policy and program evaluations and more recently she worked at the Ministry of Science, Innovation and Higher Education-Agency for Science, Technology and Innovation in Denmark responsible for several large monitoring and impact assessment studies.

Rikke earned a PhD in Economics from the Aarhus University and George Washington University.

Speaker at ISRIA

OPENING AND CLOSING REMARKS

- ▶ **RIKKE NØRDING CHRISTENSEN**
Scientific Officer, Impact Assessment, Novo Nordisk Fonden, **DK**

SCHOOL DIRECTOR 2017



DR. GERT VILHELM BALLING
School Director 2017

Gert is Senior Scientific Officer, Impact Assessment, at the Novo Nordisk Fonden since 2014 and member of the Researchfish Steering Board since 2017. He is responsible for the implementation and continuous development of impact assessment in the Foundation as well as presentation of impact results to internal and external stakeholders.

Gert has a background in technology transfer, evaluation and organization build-up on a national and international scale. He has worked as special advisor for the Danish Government as well as for public research institutions in Denmark on research policy, research assessment and commercialization of research results since 2005. He has been chairing the Nordic Network for Technology Transfer, been member of the Board of Directors at ProTon Europe as well as appointed independent expert at EU Commission Expert Groups on commercialization of research results.

He gained his MA from Copenhagen University and Albert Ludwig University of Freiburg, Germany and a cross disciplinary PhD from the IT University of Copenhagen, Denmark & UCLA, US. He also has a Certificate in Business Administration and an international RTTP accreditation.

In his spare time he is active in outreach activities and has received nominations and awards for science dissemination.

Speaker at ISRIA

OPENING AND CLOSING REMARKS

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Senior Scientific Officer, Impact Assessment, Novo Nordisk Fonden, **DK**

SUPPORT PERSONNEL



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Marietta Jeppe, economist, works as an Officer, Impact Assessment, at the Novo Nordisk Fonden where her area of work are impact assessment, data and Researchfish. She is an economist from University of Copenhagen.



DR. HENRIK BARSLUND FOSSE

Henrik Barslund Fosse, economist, works as a Scientific Officer, Impact Assessment, at the Novo Nordisk Fonden. He has been working with R&D impact assessment as a researcher, consultant and senior government official. He has extensive experience assessing the economic impact of research and innovation, e.g. assessing policy instruments aimed at increasing private sector research and innovation. During his time at the Ministry of Higher Education and Science he was the national expert on STI at OECD and was engaged in multiple activities to share and spread the knowledge on R&D and innovation evaluation in the EU.



EMILIE RØNN JENSEN

Emilie is student assistant in the impact assessment team in the Novo Nordisk Fonden. Her main responsibilities is collecting data, data processing and preparing material for impact analysis. Currently she is finishing her master thesis in Economics at the University of Copenhagen.



JENS HOLTEN POULSEN

Jens works as a student assistant in the impact assessment team in the Novo Nordisk Fonden. His main responsibilities is collecting data, data processing and preparing material for impact analysis. He is about to finish his master in Sociology at the University of Copenhagen.



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| 45 | Wendy | Reijmerink | ZonMw, NL |
| 46 | Mohamed Ramadan | Rezk | Academy of scientific research and technology-Egypt, EG |
| 47 | Mikkel | Skjoldager | DAMVAD Analytics, DK |
| 48 | Karen | Skytte Larsen | Villum Fonden, DK |
| 49 | Nickie | Spile | Novo Nordisk Fonden, DK |
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| 53 | Stefano | Utili | Newcastle University, IT |
| 54 | Bahareh | Yazdizadeh | Tehran University of Medical Sciences, IR |
| 55 | Abtesam | Yousuf | Qatar Foundation, QA |

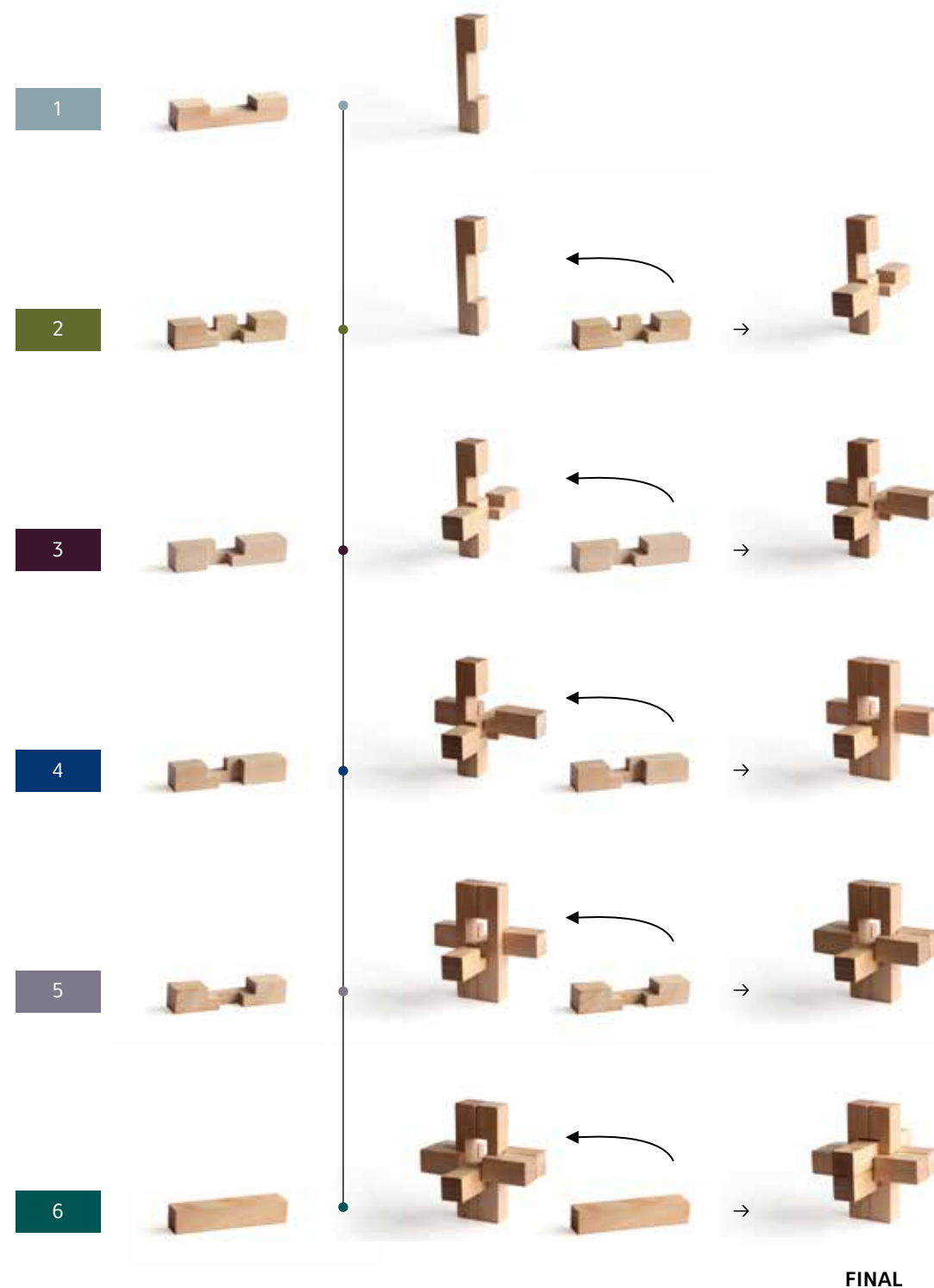
SPEAKERS AT ISRIA FAVRHOLM, DENMARK 2017

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 - ▶ **ANNE-MAREE DOWD**
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 - ▶ **KATHRYN GRAHAM**
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 - ▶ **RASMUS HELTBERG**
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 - ▶ **SABA HINRICHS-KRAPELS**
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 - ▶ **MARK TAYLOR**
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 - ▶ **VOLKER THEN**
Managing Director of the Centre for Social Investment at Heidelberg University, **DE**
- Host organization:**
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Head of Operations, Novo Nordisk Fonden, **DK**
 - ▶ **RIKKE NØRDING CHRISTENSEN**
Scientific Officer, Novo Nordisk Fonden, **DK**

THE THREE-DIMENSIONAL PUZZLE

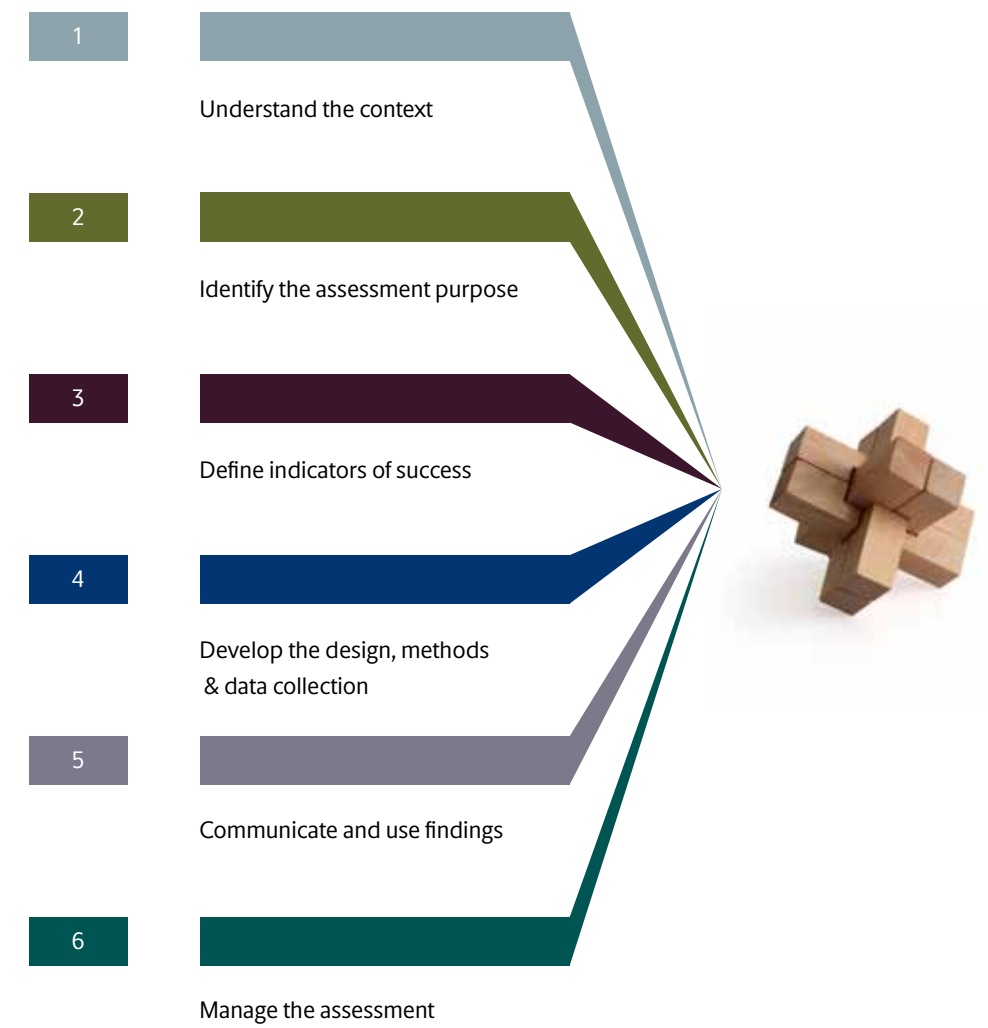
How to put it back together

This page shows how to put your three-dimensional puzzle back together again, after it's been taken apart. Follow the instructions, and your cube will be good as new again.



THE BLOCKS AT ISRIA

Each block in the puzzle represent a building block of Research Impact Assessment. On the following pages you can read about the content of each building block.





WELCOME FROM THE DIRECTORS

Welcome from the Directors

Gert V. Balling, Novo Nordisk Fonden

Rikke Nørding Christensen, Novo Nordisk Fonden

THE INTERNATIONAL SCHOOL on Research Impact Assessment

8 - 12 OCTOBER 2017

*Participants engage with an international community of practice
and have the opportunity to develop a research impact assessment plan*



FOUNDING ORGANISATIONS



Favroholm | DENMARK
HOSTED BY **NOVO NORDISK FONDEN**



OUR PRESENTATION TODAY

- ▶ Novo Nordisk Fonden
Impact Assessment Group
- ▶ Research Impact Assessment (RIA)
- ▶ Something about you
- ▶ Program overview
- ▶ Enjoy the trip!



THE INTERNATIONAL SCHOOL on Research Impact Assessment Favroholm | DENMARK 8-12 OCTOBER 2017

WELCOME FROM THE DIRECTORS

**GERT V. BALLING &
RIKKE NØRNING CHRISTENSEN**
Novo Nordisk Fonden

**NOVO
nordisk
fonden**



THE INTERNATIONAL SCHOOL on Research Impact Assessment Favroholm | DENMARK 8-12 OCTOBER 2017

NOVO NORDISK FONDEN IMPACT ASSESSMENT GROUP IN RIA



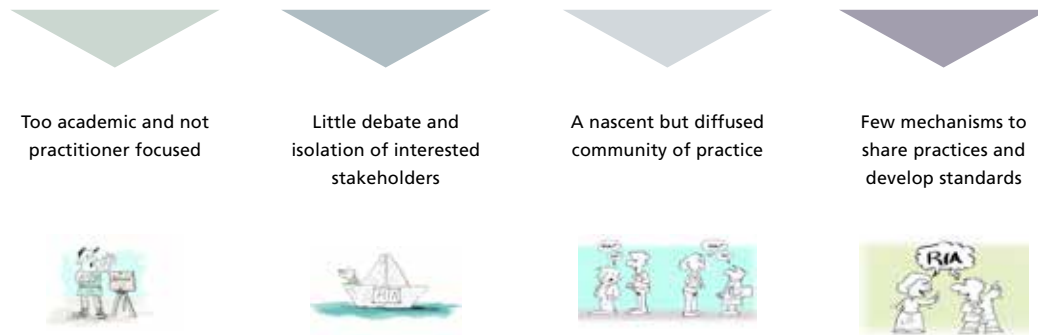
- First foundation grants awarded 1927
- Impact Assessment group established 2014
- Participated in ISRIA 2015 and 2016
- Published:
 - Impact of the Novo Nordisk Fonden on Research, 2015
 - Societal Impact of the Novo Nordisk Fonden Grants 2016
 - The Economics of Research, 2016

**NOVO
nordisk
fonden**



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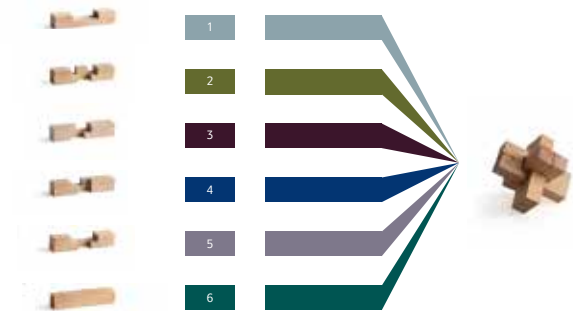
THE RIA CONTEXT THEN....



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BEST PRACTICES PROTOCOL: 6 BUILDING BLOCKS OF RIA

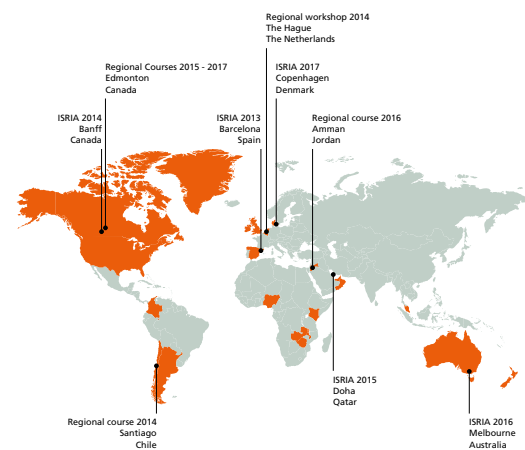
1. Understand the context
2. Identify the assessment purpose
3. Define indicators of success
4. Develop the design, methods & data collection
5. Communicate and use findings
6. Manage the assessment



THE INTERNATIONAL SCHOOL on Research Impact Assessment Favrholt | DENMARK 8-12 OCTOBER 2017

TODAY IS THE FIRST ISRIA FORUM IN DENMARK

- This event is for alumni and the community
- Purpose is to share learning – peer to peer
- Discuss, what works, what doesn't work, under what conditions
- Document strategies and tips to share with each other



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RIA TRENDS, CHALLENGES, SOLUTIONS

TRENDS

- Real time – rapid development
- Demand for metrics (simple)
- Collaborative research and collective impact
- Research and innovation is a dynamic eco-system

RIA CHALLENGES

- Impact takes time – time lags
- Misuse of metrics – one number
- Attribution, contribution and proportionality
- Responsiveness and agility



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ABOUT YOU



THE INTERNATIONAL SCHOOL on Research Impact Assessment Favrholt | DENMARK 8-12 OCTOBER 2017

REASONS FOR ATTENDING



- Learn about RIA (for some it's new, for some a refresher)
- Hear what others have done
- Network
- Learn what's new in RIA
- Gain tips, ideas, resources



THE INTERNATIONAL SCHOOL on Research Impact Assessment Favrholt | DENMARK 8-12 OCTOBER 2017

WHO ARE YOU?

- 23 COUNTRIES
- 59 % FEMALE AND 41 % MALE



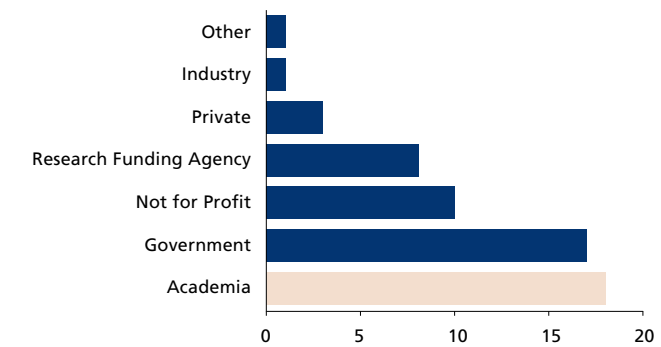
Egypt Finland
 USA Ireland
 Netherlands Spain
 Germany Tunisia Denmark
 Brazil Ghana Sweden
 Canada Qatar
 Philippines Norway
 Nepal Iran Australia
 United Kingdom
 Italy Pakistan



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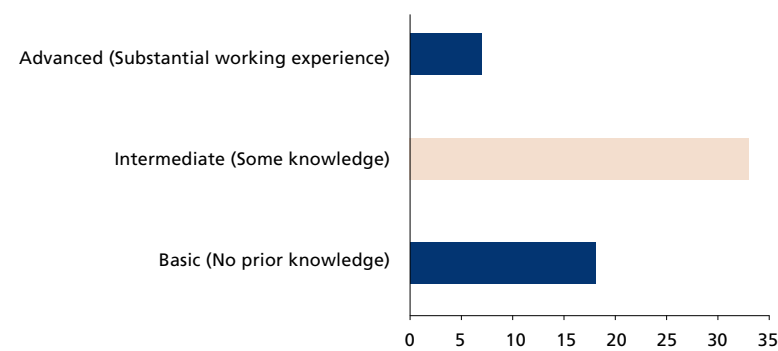
MOST PARTICIPANTS

ARE DIRECTLY ENGAGED IN RESEARCH



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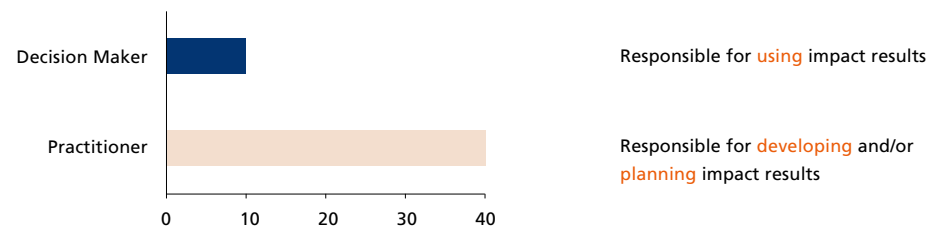
MOST PARTICIPANTS HAVE INTERMEDIATE RIA KNOWLEDGE



WHAT'S TO COME

| MONDAY OCT 9 | TUESDAY OCT 10 | WEDNESDAY OCT 11 | THURSDAY OCT 12 |
|---|--|--|--|
| 07:00-07:45 4 km trail jogging/walk and YOGA Fitness Room | 07:00-07:45 Clinical program (booked) Fitness Room | 07:00-07:45 Spinning (booked) Spinning (booked) | 07:30-08:00 Strength and Stability (booked) Fitness Room |
| 07:30-08:30 Breakfast Restaurant Stable | 07:30-08:30 Breakfast Restaurant Stable | 07:30-08:30 Breakfast Restaurant Stable | 08:00-09:00 Breakfast and Check Out Restaurant Stable |
| 08:30-08:45 Welcome and Orientation Auditorium | 08:30-08:45 Continental setup RIA - BLOCK Auditorium | 08:30-08:45 Continental setup RIA - BLOCK Auditorium | 08:00-09:00 Continental setup RIA - BLOCK Auditorium |
| BUILDING BLOCK 1 Kick-off Research Impact - Understanding the context | BUILDING BLOCK 1 Research: Drive performance of Success | 08:45-09:45 Economic Returns Jonathan Haughton Auditorium | BUILDING BLOCK 4 Manager Assessment |
| 08:45-09:30 What is research impact and why assess it? Jonathan Grant Auditorium | 08:45-10:00 Indicators of Success Anne Marie Døst, Kasper Gøtzsche Auditorium | 09:45-10:45 Social Return on Investment - Impact beyond Economics Lutz Preuss Auditorium | 09:05-10:05 Endorsing your assessment: From culture to more direct Audrium |
| 09:30-10:30 Conceptualising research impact Jonathan Grant Auditorium | 10:30-10:35 Group Photo Courtyard | 10:45-11:05 Refreshment Break Auditorium Cafe | 10:05-10:30 Refreshment Break Auditorium Cafe |
| 10:30-11:00 Refreshment Break Auditorium Cafe | 10:35-10:45 Refreshment Break Auditorium Cafe | 11:05-11:30 Build your expertise 4 Energy Dialog, Reflection Auditorium Cafe | 10:30-11:00 Refreshment Break Auditorium Cafe |
| 11:00-11:30 Build your expertise 1 Energy Dialog, Reflection Auditorium Cafe | 10:45-11:00 Build your expertise 3 Energy Dialog, Reflection Auditorium Cafe | 11:30-11:35 Lunch Auditorium Cafe | Accreditation the Basics Auditorium |
| 11:30-11:30 Lunch Auditorium Cafe | 11:00-11:00 Lunch Auditorium Cafe | BUILDING BLOCK 5 Communication and Strategy | 11:30-11:30 RIA Best Practice Auditorium |
| BUILDING BLOCK 2 Industry and Government Partners | BUILDING BLOCK 4 Overview for Energy research and data collection | 11:30-11:35 Communicating with decision makers: Developing an effective impact narrative Alexandra Poth, Lutz Preuss, Kasper Gøtzsche Auditorium | The gender equity pathway to maximise research impact: From Challenge Auditorium |
| 11:30-11:30 Engaging Stakeholders to understand their needs: Sidsa Mikkola, Anshu, Poulk Kjaer Auditorium | 11:00-11:35 Mikko Aaltonen, Alexandra Poth, Anne Marie Døst, Rasmus Heltberg, Lutz Preuss, Kasper Gøtzsche, Marko Solans Domènech Auditorium | 11:35-11:45 Refreshment Break Auditorium Cafe | 11:00-12:00 Plans Opportunities and Challenges for Impact Assessment Auditorium |
| 11:30-11:30 Refreshment Break Auditorium Cafe | 11:30-11:30 Refreshment Break Auditorium Cafe | 11:45-11:45 Break Auditorium | 12:00-12:45 Closing Ceremony Auditorium |
| 11:30-11:30 Assessment Questions: Diagnose Long-term Potential Auditorium | 11:30-11:30 Run Non-Familiarity Auditorium | 11:45-11:45 Refreshment Break Auditorium Cafe | 12:45-13:45 Lunch Auditorium Cafe |
| 11:30-11:30 Build your expertise 2 Energy Dialog, Reflection Auditorium Cafe | 11:30-11:30 Visit to Favrholm Castle Auditorium | 11:45-11:45 Refreshment Break Auditorium Cafe | |
| 12:30-12:30 Break Auditorium | 11:30-11:30 Break Auditorium | 11:45-11:45 Refreshment Break Auditorium Cafe | |
| 12:30-12:30 Dinner at Favrholm Restaurant Stable | 11:30-11:30 Dinner at Favrholm Restaurant Stable | 11:45-11:45 Refreshment Break Auditorium Cafe | |
| 20:30-21:30 CMI-out | 20:30-21:30 Reception and Cocktails Auditorium | 12:30 Home | |

MOST PARTICIPANTS DEVELOP AND/OR PLAN IMPACT RESULTS



SPEAKERS

- ▶ PAULA ADAM
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- ▶ KATHRYN GRAHAM
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- ▶ ALEXANDRA POLLITT
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- ▶ RIKKE NØRDING CHRISTENSEN
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THE 6 BLOCKS IN RESEARCH IMPACT ASSESSMENT



OVERVIEW OF THE 6 BLOCKS IN RESEARCH IMPACT ASSESSMENT

1

Block 1: What is research impact and understand the context

What is research impact and why assess it

| Purpose | Context |
|--|--|
| <ol style="list-style-type: none"> The 4 A's Accountability Advocacy Analysis/Allocation | <ul style="list-style-type: none"> Environmental scanning Unit of analysis Do I need a baseline? What is the counterfactual? Attribution vs. Contribution |

How do my RIA stakeholders differ from MY interests, perspectives, needs and expectations?

Conceptualising research impact

| Theory | Frameworks |
|---|---|
| The art of conceptualization & organising information | Review of research Impact assessment frameworks |

OVERVIEW OF THE 6 BLOCKS IN RESEARCH IMPACT ASSESSMENT

2

Block 2: Identify the assessment purpose

Engaging Stakeholders to understand their needs

| Understand your audience | Aligning communication |
|---|--|
| Identifying your RIA stakeholders <ul style="list-style-type: none"> Key interests Perspectives & needs Expectations | Options to consider when planning to communicate your RIA to stakeholders account for context, purpose, and audience |

How do my RIA stakeholders differ from MY interests, perspectives, needs and expectations?

Assessment questions

- Describe the characteristics of a good and not-so-good assessment questions
- Aligning your assessment question to your RIA purpose
- How to refine and socialise your RIA question

OVERVIEW OF THE 6 BLOCKS IN RESEARCH IMPACT ASSESSMENT

3

Block 3: Define indicators of success

Indicators of success

-
- Principles of a good indicator
 - Difference between an engagement and impact indicator
 - Overlaying indicators across your program logic
 - How to select Key Performance Indicators (KPI) and achieving balance
 - Involving your stakeholders in selecting stakeholders

OVERVIEW OF THE 6 BLOCKS IN RESEARCH IMPACT ASSESSMENT

4

Block 4: Develop the design, methods and data collection

Methods

Design

How important is causality to your research?
How to select an appropriate combination of methods
Experimental vs. other designs
What data do I need?
What resources do I need?
Reconfirm your design suits your audience

Methods

Quantitative
Qualitative
Mixed methods
Contrast the methods – how do you choose?
Triangulating your data

General introduction to the methods available quantitative, qualitative, mixed methods such as the following; economic returns, social return on investments, develop the design and data collection, interviews and focus groups, review and text mining, surveys, case studies, bibliometrics.

OVERVIEW OF THE 6 BLOCKS IN RESEARCH IMPACT ASSESSMENT

5

Block 5: Communicate and use findings

Communicating with decision-makers:
developing an effective impact narrative

- How to effectively communicate the findings from your RIA to various stakeholder.
- Constructing and delivering your impact statement.

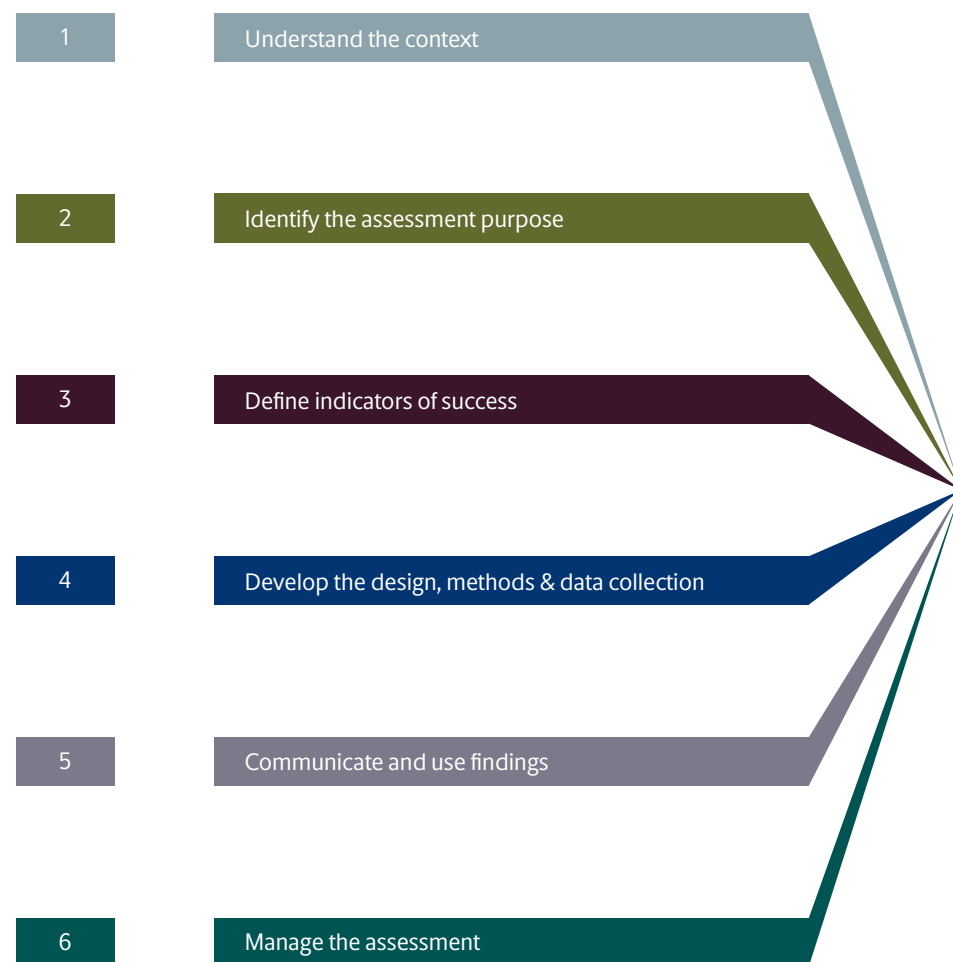
OVERVIEW OF THE 6 BLOCKS IN RESEARCH IMPACT ASSESSMENT

6

Block 6: Manage assessments

Embedding your assessment

- Embedding your impact framework at the institutional level
- Successful commissioning of an RIA
- Managing an RIA at the project level
 - Systems that can assist in tracking and storing evaluation data
 - People aspect to managing a RIA
- Exceeding expectations and delivering a successful RIA



RIA Guidelines and templates

Based on evidence, well-established principles, and best practices, the RIA Guidelines and Plan, provided in the following Sections, form part of your Toolbox. The Toolbox is not intended to be a complete resource on how to assess research impact. Rather, the materials in the Toolbox should be used as decision aids along with other information and materials provided during ISRIA, including faculty presentations and group work activities.

The Guidelines aim to assist assessors (evaluators), programme managers, and other staff in developing and reviewing programme-specific plans for assessing research impact. For example, programme managers can use the Guidelines to describe the outline of a plan to assessors or to engage with assessors about the content and considerations within a specific assessment plan. Similarly, trained assessors can use the Guidelines to enhance the quality of their plans by including several evidence- and practice-based considerations during the development of the plans.

The RIA Plan is a document that describes how you propose to assess the programme. It also looks forward, taking into consideration how you intend to manage the implementation of the plan and how the assessment results will be communicated to inform decisions about programme improvement and optimisation of impact. Provided as a template, the RIA Plan guides the development of an assessment based on ISRIA's six building blocks and customised to the programme of interest.

While the template provides the structure of the RIA Plan, the Guidelines inform the user of the details that should be considered in each building block of the template and hence the RIA Plan itself. For each block, the Guidelines also provide tips to assist in putting the knowledge gained through the ISRIA plenary sessions into practice through the RIA Plan.

The tools in the Toolbox should be adapted to fit the specific context and assessment; as similar documents in the literature reflect, tools such as these can take several different forms and have different titles. The tools are also intended to be 'living documents', with the programme-specific content being updated as necessary to reflect the complexities of the programme environment. Any such updates that are made during the planning process should be documented in different versions of the RIA Plan. This informs the assessment stakeholders of the changes and enables them to reflect on the different iterations of the RIA Plan.

Developing an RIA Plan requires critical thinking skills and a needs-based approach that reflects the purpose(s) of the assessment. The Guidelines are therefore designed as a tool to complement these types of skills and not serve as a replacement for them.



BLOCK 1

WHAT IS RESEARCH IMPACT

1

What is research impact and why assess it?
Jonathan Grant, The Policy Institute at King's

Conceptualising research impact
Jonathan Grant, The Policy Institute at King's

BLOCK 1

WHAT IS RESEARCH IMPACT

The purpose of this section is for you to make notes associated with the content presented for this Block and to build your expertise.

Learning Outcomes:

- Be able to describe the rationale and value of research impact assessment (RIA)
- Describe the discipline of RIA
- Understand the various RIA frameworks
- Perceived 'competition' between methods, models & approaches
- Emerging and diffused community of practice
- Describe the components to an "Impact Pathway"
- Describe the RIA context
- Need to build international capacity, share practices & develop standards

Programme and Assessment Context

Information Required in RIA Plan:

- Background information that highlights the past and current needs for the programme, including supporting evidence (e.g., research studies, government reports, results of past assessments, etc.) i.e., why was the programme developed?
- A description of the baseline, especially if a pre-post design is to be used (see Methods and Data Sources in Block 4)
- The relevance of the programme e.g., alignment to the organisation's strategic plan or government priorities
- The goal(s) and objectives of the programme
- The programme's scope and complexity
- The programme's unit of analysis
- Funding and funding sources
- The programme time frame
- The governance structure of the programme (When there are partners, describe the roles and responsibilities of each partner in relation to both the programme and the assessment)
- A list of the key programme stakeholders, including a brief description of their roles and responsibilities in relation to the programme
- The target population(s) that are relevant to programme delivery i.e., a description (e.g., geographical area, age, etc.) of the group(s) that the programme intends to influence or provide benefits to
- The population(s) that will be affected by the programme (i.e. the beneficiaries of the programme)

Sources: Strategic plan; operational plan; vision and mission statements; programme plans and guides; documented assessment requirements; previously completed assessments; and the programme theory.



BLOCK 1

1

WHAT IS RESEARCH IMPACT AND WHY ASSESS IT?

Jonathan Grant, The Policy Institute at King's

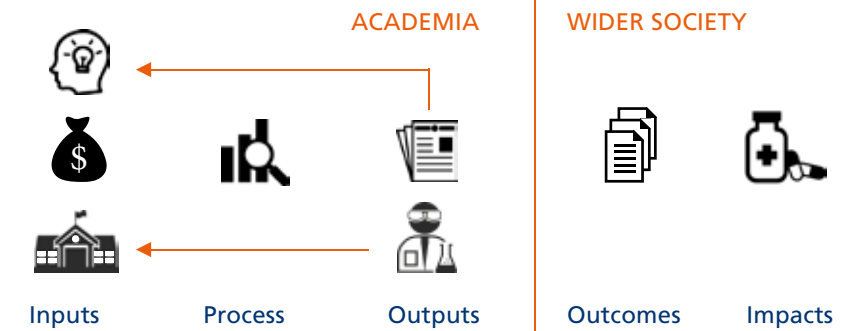
WHAT IS RESEARCH IMPACT AND WHY ASSESS IT?

JONATHAN GRANT
The Policy Institute at King's



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WHAT DO WE MEAN - BY RESEARCH IMPACT?



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LEARNING OUTCOMES

- ▶ Have a shared understanding of what we mean by research impact.
- ▶ Be able to understand differing motivations for assessing research impact.



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IMPACT IS DEFINED AS...

*“... an effect on, change or benefit to the economy, society, culture, public policy or services, health, the environment or quality of life, **beyond academia**”*

Source: <http://www.hefce.ac.uk/rsch/REImpact/>



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WHY ASSESS RESEARCH IMPACT?

- ▶ **ACCOUNTABILITY**
To taxpayers, donors, etc
- ▶ **ADVOCACY**
'Make the case' for research funding
- ▶ **ANALYSIS**
What works in research funding?
- ▶ **ALLOCATION**
What to fund (institution, field, people, etc)

Source: Morgan Jones and Grant, 2013

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INTEREST IS NOT NEW IN THE IMPACT OF RESEARCH

1945

As long as [universities] are vigorous and healthy and their scientists are free to pursue the truth wherever it may lead, there will be a flow of new scientific knowledge to those who can apply it to practical problems in Government, in industry, or elsewhere."

Vannevar Bush
Science the Endless Frontier, 1945

▶

▶

▶

1620

"There is another powerful and great cause of the little advancement of the sciences, which is this: it is impossible to advance properly in the course when the goal is not properly fixed. But the real and legitimate goal of the sciences is the endowment of human life with new inventions and riches."

Francis Bacon
Novum Organum, 1620

1993

"The understanding and application of science are fundamental to the fortunes of modern nations. Science, technology and engineering are intimately linked with progress across the whole range of human endeavour: educational, intellectual, medical, environmental, social, economic and cultural."

Chancellor of the Duchy of Lancaster
Realising our potential White Paper, 1993

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RIA AS A NOT A 'DISCIPLINE' DRAWS UPON MANY FIELDS

Emergence of the science of science (and innovation) policy.

Scientifically rigorous quantitative basis for science policy

Growing body of evidence on ways to monitor, measure & evaluate impacts.

Group of evaluators, researchers, policy makers, funders & consultants engaged in improving our understanding of research impact.

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BUT THE SCHOOL SHARES

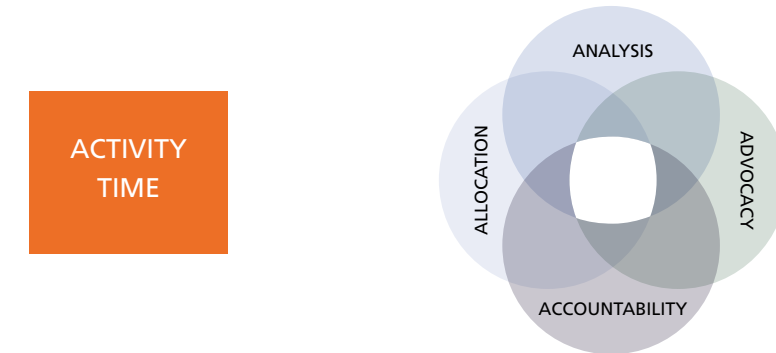
A SET OF PRINCIPLES

- 1 Agnostic/neutral approach in the teaching of RIA
- 2 Transparent, open and accessible
- 3 Build a community of practice- global perspective to maximise local capacity in RIA
- 4 Public value – public investments are used for public value
- 5 RIA are useful to those that need it
- 6 RIA are practical and can implemented in a feasible cost effective manner
- 7 Advance in understanding the theory practice relationships
- 8 Advance the evidence and practice base in RIA



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BE CLEAR ON THE PRIMARY PURPOSE OF YOUR RESEARCH IMPACT ASSESSMENT



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THE NEED FOR RIA PRACTITIONERS & TOOLS

- ▶ Impact assessment debate too academic & not practitioner-focused
- ▶ Perceived 'competition' between methods, models & approaches
- ▶ Emerging but diffused community of practice
- ▶ Need to build international capacity, share practices & develop standards



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LEARNING ACTIVITY



5 MINUTES

IN SMALL GROUPS

- 1 Briefly describe a project that you are familiar with than involved assessing the impact of research
- 2 Think through the primary objective
- 3 Think through the secondary objective
- 4 Mark your project on the Venn diagram



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TAKE HOME MESSAGES

- 1 **KNOW WHY YOU ARE ASSESSING RESEARCH IMPACT**
 - What is the objective of the research evaluation?
- 2 **USE A MULTI-METHOD, MULTI-DIMENSIONAL APPROACH**
 - Don't rely on one method (e.g., bibliometrics)
- 3 **(RESEARCH) IMPACT ASSESSMENT IS NOT EASY**
 - No (research) funder has the answer
- 4 **NEED TO MOVE FROM ADVOCACY TO ACCOUNTABILITY**
 - Need "science of science" to understand what works
 - Need a practical evidence base for science policy
 - Need to "walk the talk"—ensure that funders of research apply same approaches to themselves as they do to the researchers they fund



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THANK YOU FOR YOUR ATTENTION!



JONATHAN GRANT
The Policy Institute at King's

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Mob: +44 (0) 796 107 3815
Twitter: @jonathancgrant



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RECOMMENDED READINGS

Morgan Jones, M and Grant J (2013). Making the Grade. Methodologies for Assessing and Evidencing Research Impact. 7 Essays on Impact. DESCRIBE Project Report for Jisc. University of Exeter / Dean et al. (eds.) (Exeter, UK : University of Exeter, 2013), p. 25-43.

[http://www.exeter.ac.uk/media/universityofexeter/research/ourresearchexcellence/describeproject/pdfs/2013_06_04_7_Essays_on_Impact_FINAL.pdf]



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BLOCK 1

1

CONCEPTUALISING RESEARCH IMPACT

Jonathan Grant, The Policy Institute at King's

CONCEPTUALISING RESEARCH IMPACT

JONATHAN GRANT
The Policy Institute at King's



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OUTLINE



1 The art of conceptualization & organising information.

2 Review of research Impact assessment frameworks.



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LEARNING OBJECTIVES

- ▶ To understand the importance of conceptualisation
- ▶ To review various research impact assessment frameworks that have been developed by others



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LEARNING ACTIVITY



IN SMALL GROUPS


In table groups categorise the flags using whatever taxonomy you choose



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FOUR APPROACHES TO ORGANISING INFORMATION

- ▶ By **TIME**
- ▶ By **STRUCTURE**
- ▶ By **RANK**
- ▶ By **DEDUCTIVE REASONING**



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BY TIME: CAUSE-EFFECT

INPUT

What is invested?
What resources are you working with?

PROCESSES

What are you doing to accomplish the research goals and objectives?


OUTPUT

What is produced?
What are direct results?

OUTCOME AND IMPACT

What are the medium to longterm consequences of the activity?

What are the ultimate impacts that are aspired to?



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BY TIME: CHRONOLOGY

The Coca-Cola Bottle

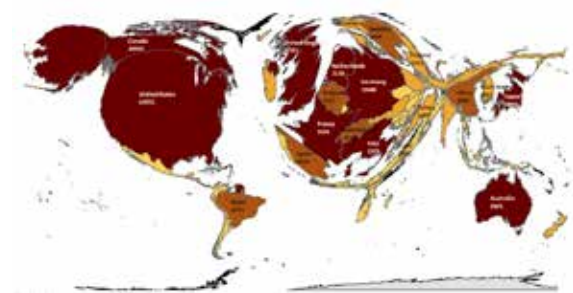


1899-1902 1900-1916 1915 1957 1961 1991 1994




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BY STRUCTURE: GEOGRAPHY

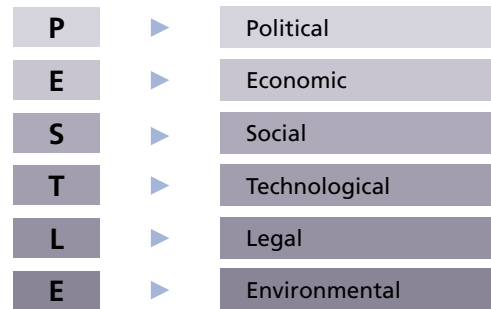


- No data
- 1 - 1000
- 1001 - 2000
- 2001 - 5000
- 5001 - 65000

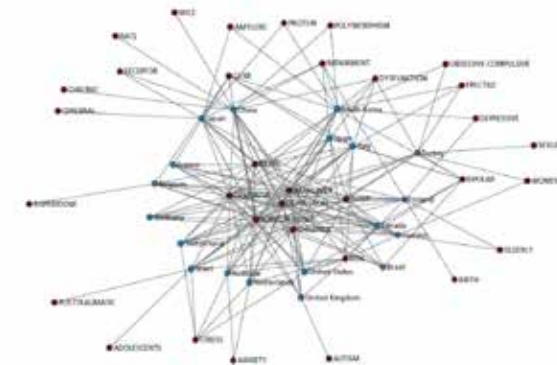


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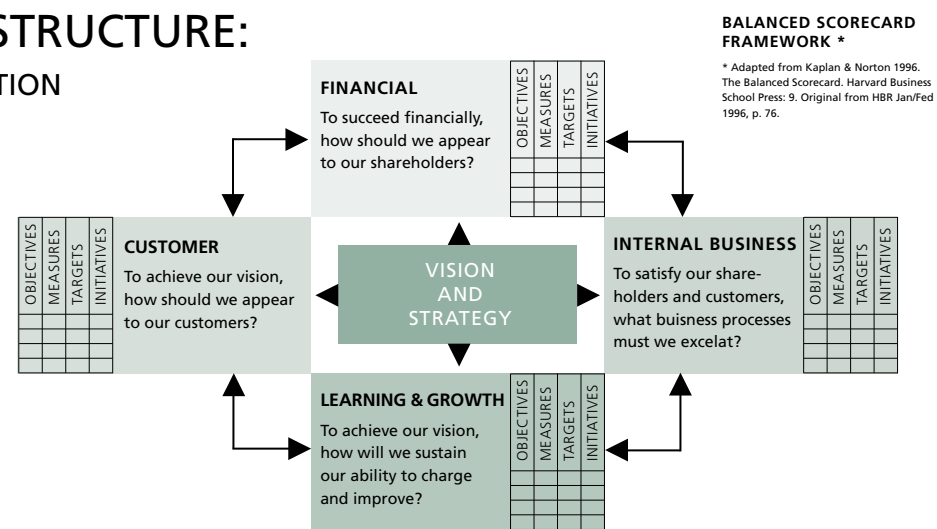
BY STRUCTURE: PESTLE



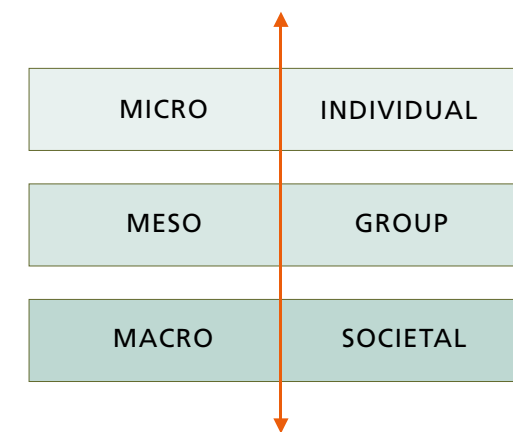
BY STRUCTURE: INTERRELATIONSHIPS



BY STRUCTURE: FUNCTION



BY RANK: MACRO – MICRO



BY DEDUCTION: COST - BENEFIT

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OUTLINE

- 1 The art of conceptualization & organising information.
- 2 Review of research Impact assessment frameworks.

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AIMS OF THE STUDY

ACT AS A 'HOW-TO GUIDE' TO EVALUATING RESEARCH

- Understand the challenges and trade-offs in evaluating research
- Provide examples of frameworks and tools used for evaluating research internationally

Report available at:
<http://www.rand.org/pubs/monographs/MG1217.html>
 Webinar at:
<https://www.aamc.org/initiatives/research/348948/randreportrelease.html>







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WE REVIEWED SIX FRAMEWORKS ...

- Research Excellence Framework (REF), UK – assesses performance of UK universities to determine funding allocation
- STAR METRICS, US – uses data mining and other low burden methods to account for federal R&D spending
- Excellence in Research for Australia (ERA), AU – uses bibliometrics, and other quantitative indicators, to map R&D output
- Canadian Academy of Health Science (CAHS), CA – aims to provide consistency and comparability while retaining flexibility
- National Institute of Health Research (NIHR) Dashboard, UK – provides performance management information at various levels of aggregation
- Productive Interactions, EU – flexible approach to help institutions learn and improve their performance against their own goals

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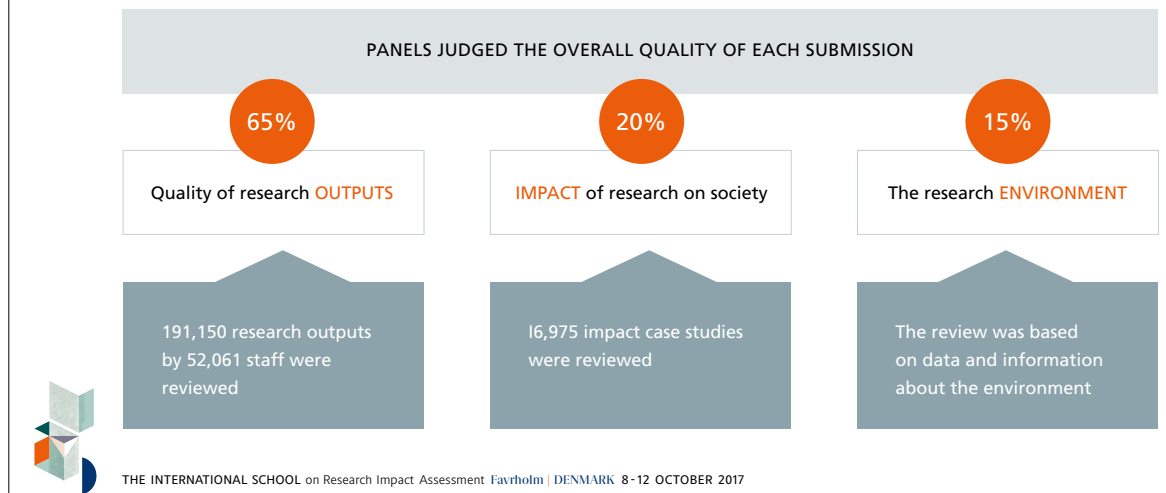
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WHAT WAS ASSESSED



HOW REF WORKED

REF assesses the quality of research in all UK universities, in all disciplines. It is carried out by 36 expert panels, grouped into 4 main panels.

| | |
|----------|-----------------------------------|
| PANEL A: | Medical and life sciences |
| PANEL B: | Physical sciences and engineering |
| PANEL C: | Social sciences |
| PANEL D: | Arts and humanities |

2011-12
PREPARATION

Panels were appointed; guidance and criteria were published

2012-13
SUBMISSIONS

Universities made submissions in whichever subjects they chose to

2014
ASSESSMENT

36 expert panels reviewed the submissions, guided by the 4 main panels



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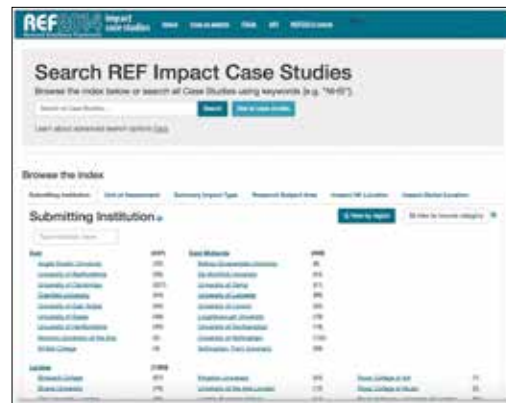
FOR THE FIRST TIME, REF HAS DEMONSTRATED THE IMPACT OF UK RESEARCH IN ALL SUBJECTS

- Over 250 research users judged the impacts, jointly with academic panel members.
- Impressive impacts were found from research in all subjects.
- 44% of impacts were judged outstanding (4*). A further 40% were judged very considerable (3*).
- REF shows many ways in which research has fuelled economic prosperity, influenced public policy and services, enhanced communities and civicsociety, enriched cultural life, improved health and wellbeing, and tackled environmental challenges.



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SEARCH DATABASE OF REF IMPACT CASE STUDIES



<http://impact.ref.ac.uk/CaseStudies/>

IMPACT CASE STUDY 'JESUS WAS MARRIED' EXAMPLE 2:

On 18 September 2012 a newly-discovered Coptic gospel fragment, purportedly dating from the 4th century, was announced in Rome. It generated worldwide publicity: for in it, Jesus refers to 'my wife'.

Watson's research transformed the way that this fragment was perceived by an international public. As such, it prevented a serious scholarly error from becoming lodged in the public consciousness.

Three days later, Professor Francis Watson posted a short paper online, in which he used a form of compositional analysis which he has pioneered to argue that the fragment is most probably a recent forgery.

It is an example of the power of a timely web-enabled intervention by a scholar in a fast-moving news story.

Watson's paper was extensively read and reported, and widely regarded as conclusive. An imminent TV documentary on the fragment was promptly postponed indefinitely.

'The Case of the Forged Gospel Fragment', REF 2014 IMPACT CASE STUDY
<http://impact.ref.ac.uk/CaseStudies/CaseStudy.aspx?id=11837>

IMPACT CASE STUDY 'ELEPHANT AND THE BEES' EXAMPLE 1:

While increasing African elephant numbers in the last 20 years has been a success for conservation efforts, it creates problems for farmers when the elephants raid their crops.

They went on to develop and test a novel elephant-deterrent beehive fence, built using low-tech, easy to maintain materials. The fences reduced raids on farmers' crops, improving their food security. In tandem, sales of 'elephant friendly' honey from the beehives offset the costs of building the fence.

Building on local anecdotal evidence, zoologists from the University of Oxford published a study in 2002 reporting that elephants avoided feeding on acacia trees hung with beehives. Partnering with a bioacoustician from Disney's Animal Kingdom, the team went on to show that the buzz of aggressive bees caused elephants to emit a low frequency rumble, causing other nearby elephants to retreat.

UNESCO and the World Bank have since backed the use of beehive fences as a means to reduce human-elephant conflict. Projects are now running in farms across Kenya, Botswana, Tanzania, Mozambique and Uganda.

Using honey bees as an effective deterrent for crop-raiding elephants', REF 2014 IMPACT CASE STUDY
<http://impact.ref.ac.uk/CaseStudies/CaseStudy.aspx?id=17588>

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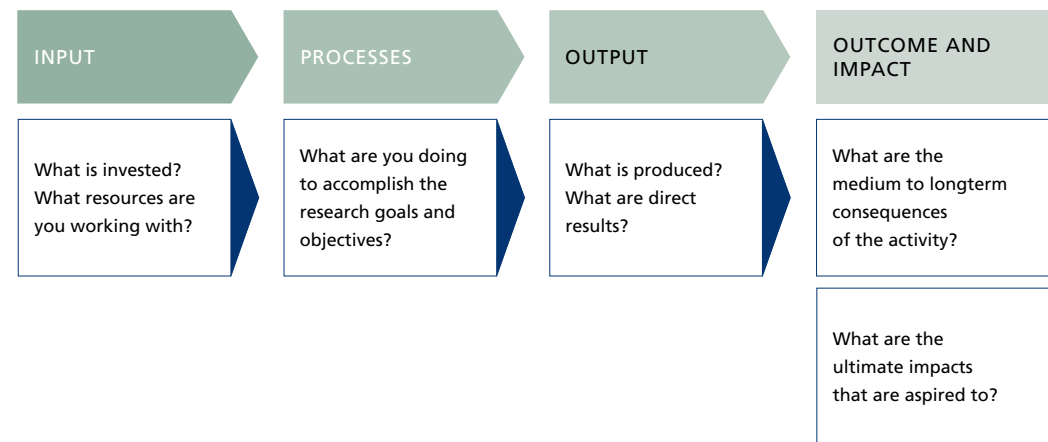


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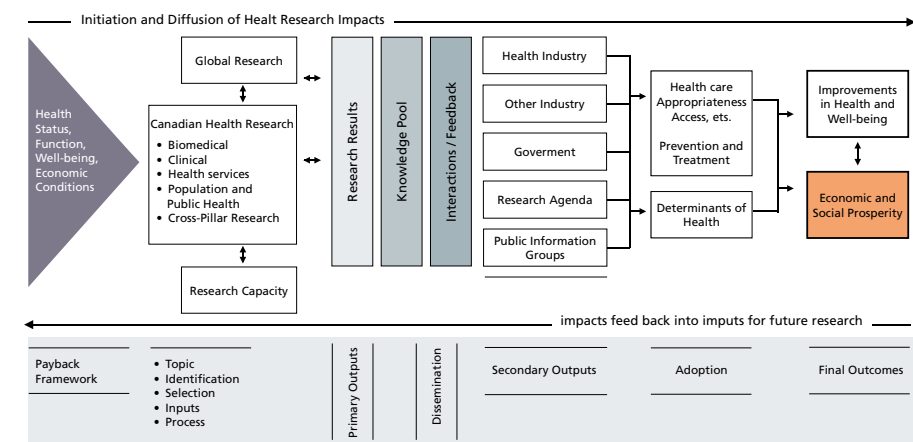


- Productive Interactions, EU – flexible approach to help institutions learn and improve their performance against their own goals

BY TIME: CAUSE-EFFECT

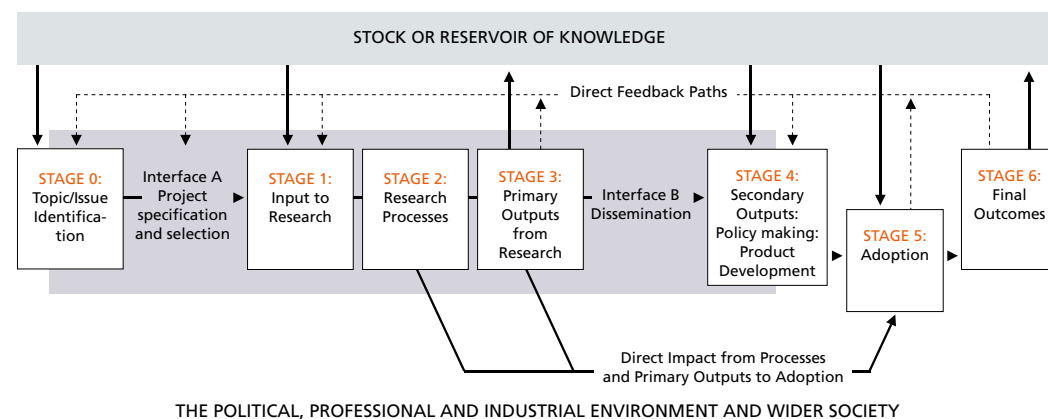


CANADIAN ACADEMY OF HEALTH SCIENCES (CAHS)



THE PAYBACK FRAMEWORK

Adapted from Hanney S, Gonzalez-Block M, Buxton M and Kogan M, The Utilisation of health research in policy-making: concepts, examples and methods of assessment. Health Research Policy System 2003, 1:2





THERE IS NO SILVER BULLET

DESIGNING A RESEARCH EVALUATION FRAMEWORK REQUIRES TRADE-OFFS:

- Quantitative approaches tend to produce longitudinal data, do not require judgement or interpretation and are relatively transparent, but they have a high initial burden
- Formative approaches tend to be comprehensive, evaluating across a range of areas, and flexible, but they do not produce comparisons between institutions
- Approaches that have a high central burden tend not to be suitable for frequent use
- Approaches that have been more fully implemented tend to have a high level of central ownership
- Frameworks that place a high burden on participants require those participants to have a high level of expertise (or should provide capacity building and training to achieve this)

THE FRAMEWORK SHOULD BE DESIGNED BASED ON THE PURPOSE OF THE EVALUATION

- ▶ ACCOUNTABILITY
- ▶ ADVOCACY
- ▶ ANALYSIS
- ▶ ALLOCATION

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QUESTIONS AND DISCUSSION




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THERE ARE SOME PERENNIAL CHALLENGES TO RESEARCH ASSESSMENT




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FURTHER READING

- Guthrie, S, Wamae, W, Diepeveen, S, Wooding, S and Grant, J (2013). Measuring research: a guide to research evaluation frameworks and tools. RAND Europe, Cambridge (MG-1217-AAMC)
- King's College London and Digital Science (2015). The nature, scale and beneficiaries of research impact: An initial analysis of Research Excellence Framework (REF) 2014 impact case studies. Bristol, United Kingdom: HEFCE.
- Manville, Catriona, Molly Morgan Jones, Michael Frearson, Sophie Castle-Clarke, Marie-Louise Henham, Salil Gunashekar and Jonathan Grant. (2015) "Preparing impact submissions for REF 2014: An evaluation: Findings and observations." Santa Monica, CA: RAND Corporation. http://www.rand.org/pubs/research_reports/RR727.html.



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BLOCK 2 IDENTIFYING THE ASSESSMENT PURPOSE

2

Engaging stakeholders to understand their needs

Saba Hinrichs-Krapels, The Policy Institute at King's
Paula Adam, ISOR

Assessment Questions

Deanne Langlois-Klassen, Alberta Innovates

BLOCK 2

IDENTIFY THE ASSESSMENT PURPOSE

Learning Outcomes:

- Be able to define your primary purpose for conducting an RIA
- Evaluate and articulate the context in which you are conducting your RIA
- Identifying your stakeholders and understand their key interests, perspectives, needs and expectations
- Consider preliminary communication options, challenges and approaches, linked to your key stakeholders and overall RIA purpose
- Understand how to develop assessment questions
- Describe the characteristics of good assessment questions
- Write specific assessment questions given stakeholders, purpose and general question(s)

Which Stakeholders Want the Impact Assessment

Information Required in RIA Plan:

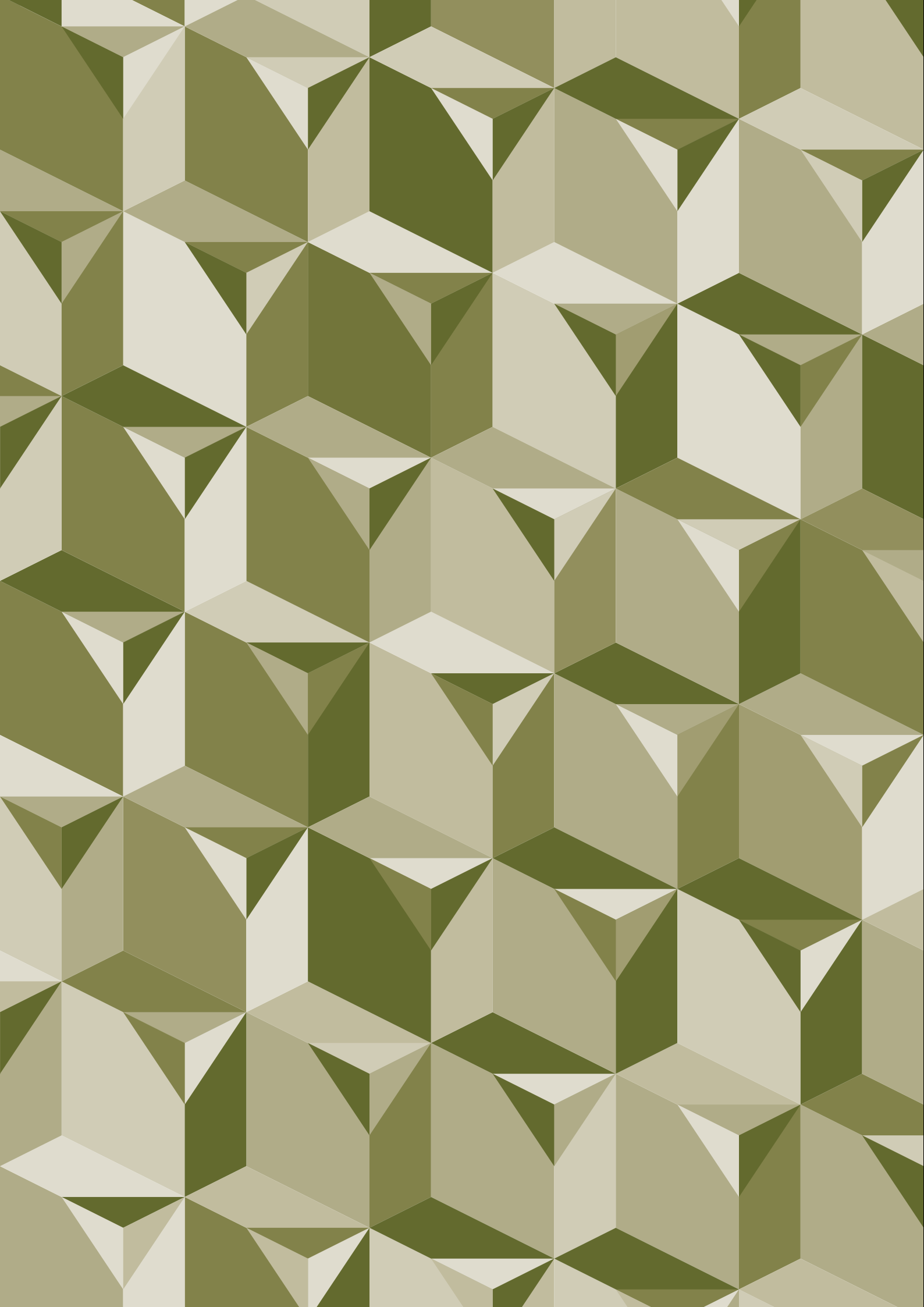
- The level of influence that each primary assessment stakeholder has on the programme
- The frequency for RIA required by each primary assessment stakeholder and/or the time-lines or points in the programme cycle when the information is needed, for example:
 - Frequency: annually, every other year, every 3 to 5 years, etc.
 - Timelines: at time of admission, discharge and/or follow-up, etc.

Sources: Stakeholder analysis; assessment requirements; and meetings with senior managers or programme staff.

Tips:

Identify the subset of key programme stakeholders (see Block 1) who also represent primary assessment stakeholders

- The primary users of the assessment often include:
 - Funders
 - Donors
 - Academic institutions
 - Researchers
 - Health organisations
 - Industry
 - Programme managers



BLOCK 2

2

ENGAGING STAKEHOLDERS TO UNDERSTAND THEIR NEEDS

Saba Hinrichs-Krapels, The Policy Institute at King's
Paula Adam, ISOR

ENGAGING STAKEHOLDERS TO UNDERSTAND THEIR NEEDS

SABA HINRICHS-KRAPELS
The Policy Institute at King's

PAULA ADAM
AQuAS



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PART 1 BACKGROUND AND EXAMPLES



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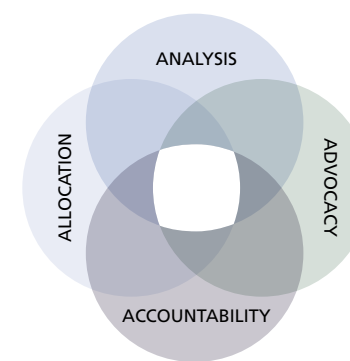
LEARNING OUTCOMES

- ▶ Identify stakeholders (depending on your purpose)
- ▶ Prioritise stakeholders (according to receptivity)
- ▶ Create appropriate channels
- ▶ Engage them in your RIA questions



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EXAMPLES OF ENGAGEMENT FOR EACH A



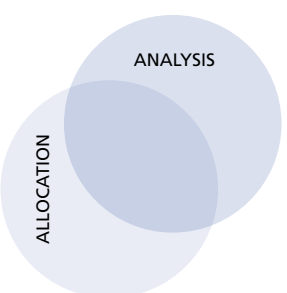

- ANALYSIS**
What works in research funding?
- ADVOCACY**
'Makes the case' for research funding
- ACCOUNTABILITY**
To taxpayer, donors, etc.
- ALLOCATION**
What to fund (institution, field, people etc.)

Source: Morgan Jones, M., Grant, J. Making the Grade: Methodologies for assessing and evidencing research impact in Dean et al (Eds) (2013) 7 Essays on Impact. DESCRIBE Project Report for Jisc. University of Exeter.




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EXAMPLES OF ENGAGEMENT FOR EACH A







REF assesses the quality of research in all UK universities, in all disciplines.




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EXAMPLES OF ENGAGEMENT FOR EACH A

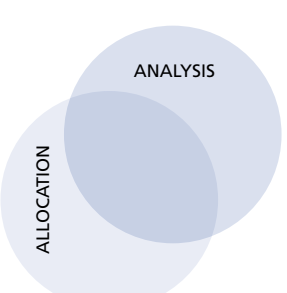

ENGAGEMENT:

- Analysis commissioned by HEFCE; but assessment by peer review
- Results all available online
- Allocation coordinated by HEFCE




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EXAMPLES OF ENGAGEMENT FOR EACH A

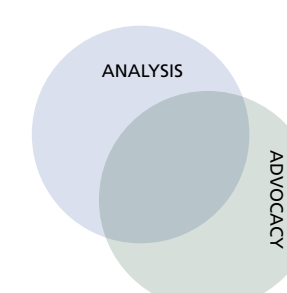


PANELS JUDGED THE **OVERALL QUALITY** OF EACH SUBMISSION

| | | |
|------------------------------------|--------------------------------------|---------------------------------|
| 65% | 20% | 15% |
| Quality of research OUTPUTS | IMPACT of research on society | The research ENVIRONMENT |




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EXAMPLES OF ENGAGEMENT FOR EACH A

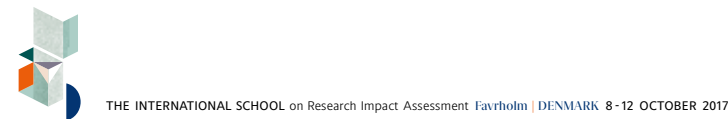
ENGAGEMENT:

- Analysis commissioned by UKCDS; but informed Development sector funding
- Close communication with UKCDS (and ensuring our analysis aligned with Government budget concerns)
- UKCDS tweeted and used blogs and summaries to make analysis public



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PART 2 IDENTIFYING STAKEHOLDERS



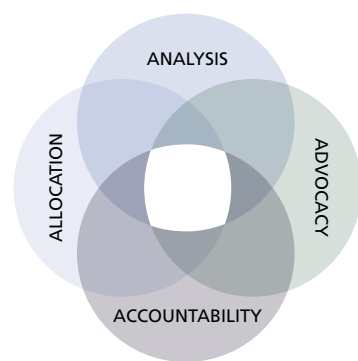
WHO DO YOU NEED TO ENGAGE?



- ANALYSIS**
What works in research funding?
- ADVOCACY**
'Makes the case' for research funding
- ACCOUNTABILITY**
To taxpayer, donors, etc.
- ALLOCATION**
What to fund (institution, field, people ...)



EXAMPLES OF ENGAGEMENT FOR EACH A



- A** **ANALYSIS**
What works in research funding?
- A** **ADVOCACY**
'Makes the case' for research funding
- A** **ACCOUNTABILITY**
To taxpayer, donors, etc.
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What to fund (institution, field, people ...)

Source: Morgan Jones, M., Grant, J. Making the Grade: Methodologies for assessing and evidencing research impact in Dean et al (Eds) (2013) 7 Essays on Impact. DESCRIBE Project Report for Jisc. University of Exeter.



LEARNING ACTIVITY



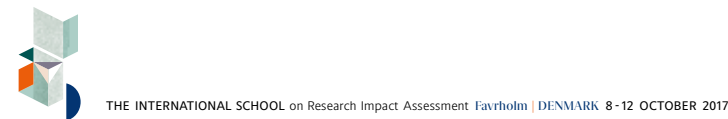
5 MINUTES

IN SMALL GROUPS

Make a list (according to the 4A purpose)



PART 3 PRIORITISING STAKEHOLDERS



INFLUENCE / INTEREST MATRIX

*'Keep your friends close,
and your key
stakeholders closer'*

| | | Interest | |
|-----------|------|--------------------|----------------------|
| | | Low | High |
| Influence | Low | A – minimal effort | B – keep informed |
| | High | C – keep satisfied | D – key stakeholders |



WHY AND HOW DO WE PRIORITISE STAKEHOLDERS?

REGARD STAKEHOLDERS AS 'IMPACT CONSTITUENCIES'

Your Impact Constituency will generally have positive attitudes towards your research, or at least the potential to develop sympathy towards your research, and help you make a difference to the sector you are studying

- A Time is limited!
- B Not everyone responds to the same messages at the same time or in the same way
- C Not everyone will be as helpful in creating impact



LEARNING ACTIVITY



15 MINUTES

IN SMALL GROUPS

Divide up your stakeholders into this matrix

| | | Interest | |
|-----------|------|--------------------|----------------------|
| | | Low | High |
| Influence | Low | A – minimal effort | B – keep informed |
| | High | C – keep satisfied | D – key stakeholders |



PART 4 CREATE CHANNELS

BIG PICTURE ▶



DETAIL ▶



FLAG EXERCISE

LOGICAL RATIONAL
▼

BIG PICTURE ▶



EMOTIONAL
▼



DETAIL ▶



LOGICAL RATIONAL
EMOTIONAL

BIG PICTURE ▶

DETAIL ▶

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STEERING GROUP MEETINGS

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{ Great way to involve those with high 'influence and interest' in your constituency matrix. }

- Key stakeholders get an 'early' sight of your research and can champion it (snowball effect).
- Helps understand challenges to implementation in impact pathway.
- Requires lots of commitment from potentially very important and busy people.

CULTIVATING RELATIONSHIPS WITH STAKEHOLDERS

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WORKING GROUPS / ROUNDTABLES

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{ Small groups engaging with and contributing to your research. }

- Can be time-consuming to organise.
- Can be 'preaching to the converted'.

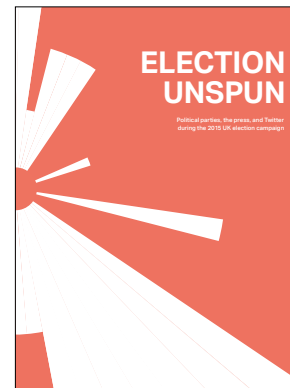
{ On the other hand, articulating or providing better support for popular pre-existing ideas can still be valuable. }

- Key stakeholders get an 'early' sight of your research and can champion it (snowball effect).
- Good way to get 'buy in' and to engage your networks of users and stakeholders.

BRIEFING NOTES

Short (1000-2000 word) briefing notes that spell out the key findings of a piece of research, briefly describing how you got there and giving any recommendations.

- Ideal for time-poor, high-level decision-makers.
- Must formulate a coherent and accessible narrative.
- Lines can be picked up by media.
- Can over-simplify complex research.
- Can leave you open to criticism.
- Hard to produce without professional support.



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BLOGGING

Discrete posts online of providing accessible 'versions' of research, findings and implications.



- Good way to build a digital profile.
- Open access – so can draw in all stakeholders.
- Short – works for the time poor.
- Can get 'lost' in the internet ether.
- Require regular maintenance and upkeep to retain audience (see Constituencies).



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PAMPHLETS

Accessible, message-led publications that enable the reader to understand the research and the implications without the depth and impenetrability of some academic journals.

- Good way to engage policymakers and think-tankers.
- Can raise media profile (if pushed).
- Can be picked up by policy-makers.
- Time-Consuming.
- Need an outlet.



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BMC TIPS ON WRITING BLOGS

- 1 Advise that blogs are between 300-800 words.
- 2 Try to avoid using technical language – write the blog in the style of an opinion piece you would find in a high brow news-paper – it doesn't have to be dumbed-down, just clear.
- 3 There's no need for formal references in the blog – just make sure if you reference findings from another piece of work or another article that you add in a hyper-link to that work.
- 4 Keep paragraphs short. It's ok for a blog to be long, but it's good practice to space the paragraphs out more than you normally would in a Word document, so that it doesn't look too dense on the page.
- 5 If you can, write from the first person perspective. It's great for our readers to hear from you about what you think on the topic you're writing about.



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TWITTER CAMPAIGNS

A potentially effective tool for communicating with the wider public and interested stakeholders.

- Can create and supplement your research network.
- Can create a digital profile for your work.
- Very easy to 'push' headlines

- Can over-simplify.
- Can cause conflict.
- You may end up talking in an echo chamber of like-minded individuals.

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INFOGRAPHICS

382 MILLION people worldwide are estimated to have diabetes

8,3% of the global adult population (aged 20-79)

20% **40%** **40%**

46% of these cases are undiagnosed

Visual way to communicate messages.

- Excellent to communicate lots of data.
- Grabs attention quickly.
- Can be used for tweets and briefings.

- Can be costly.
- Needs to be complemented by text in some contexts.

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LEARNING ACTIVITY

10 MINUTES

IN SMALL GROUPS

Identify your channels

| | | Interest | |
|-----------|------|--------------------|----------------------|
| | | Low | High |
| Influence | Low | A – minimal effort | B – keep informed |
| | High | C – keep satisfied | D – key stakeholders |

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PART 5

ASK THE RIGHT QUESTION(S)

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DEVELOPING QUESTIONS WITH STAKEHOLDER

- Workshop
- Delphi survey

- Workshop
- Interviews
- Focus group

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PRIORITISE YOUR QUESTION(S)

- Time
- Money
- Data availability
- Acceptability

FEASIBILITY

IMPORTANCE

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FINDING THE RIGHT QUESTIONS

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FINDING THE RIGHT QUESTIONS

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LEARNING ACTIVITY



15 MINUTES
IN SMALL GROUPS


Choose one stakeholder individual or group.

What should be the key question you address with them?




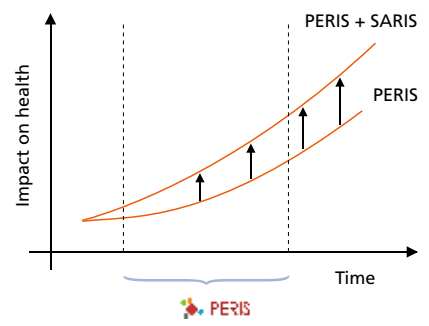
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PERIS AS A FUNDAMENTAL VALUE TO IMPROVE HEALTH



Stream line







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PART 6 / CASE STUDY

HEALTH RESEARCH ASSESSMENT IN CATALONIA (SPAIN): THE SARIS SYSTEM


SARIS is a Strategic Instrument of the Strategic Plan of Health Research and Innovation of Catalonia (PERIS), 2016-2020




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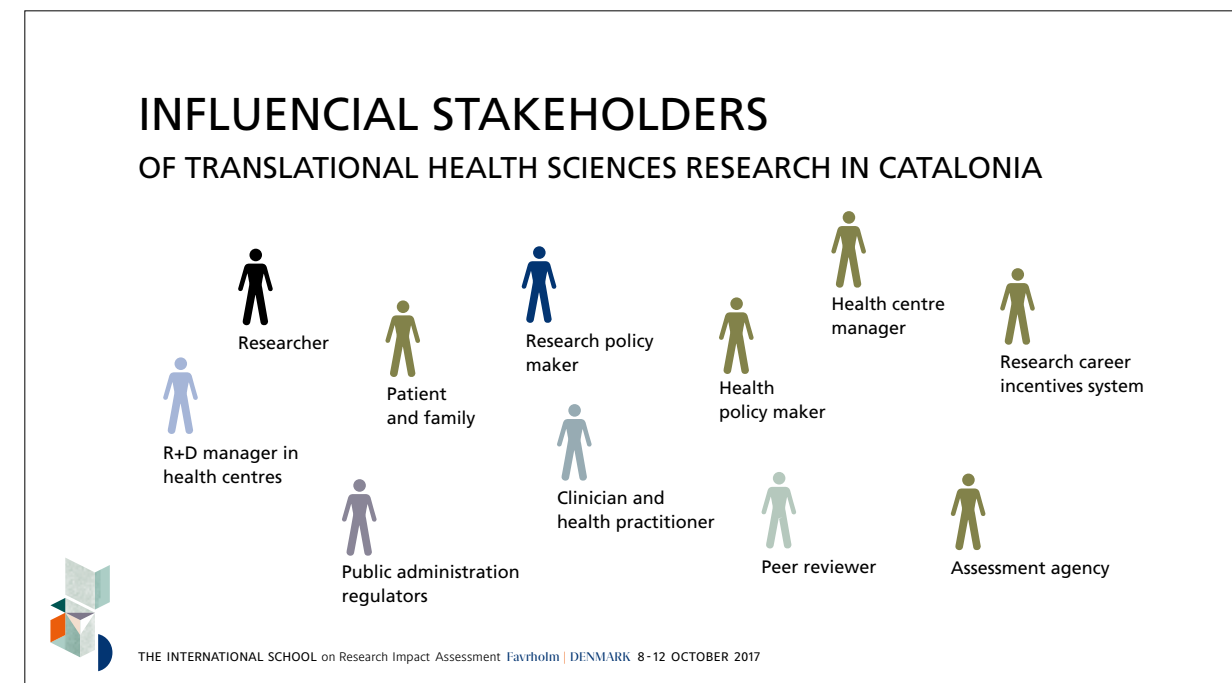
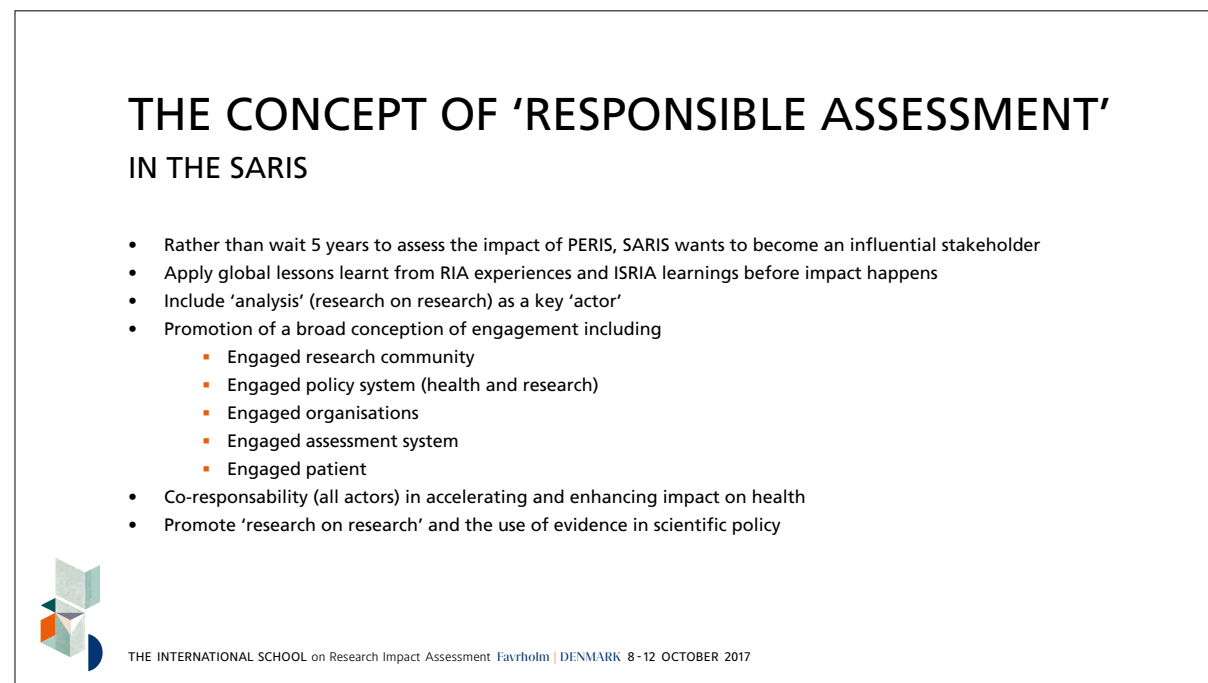
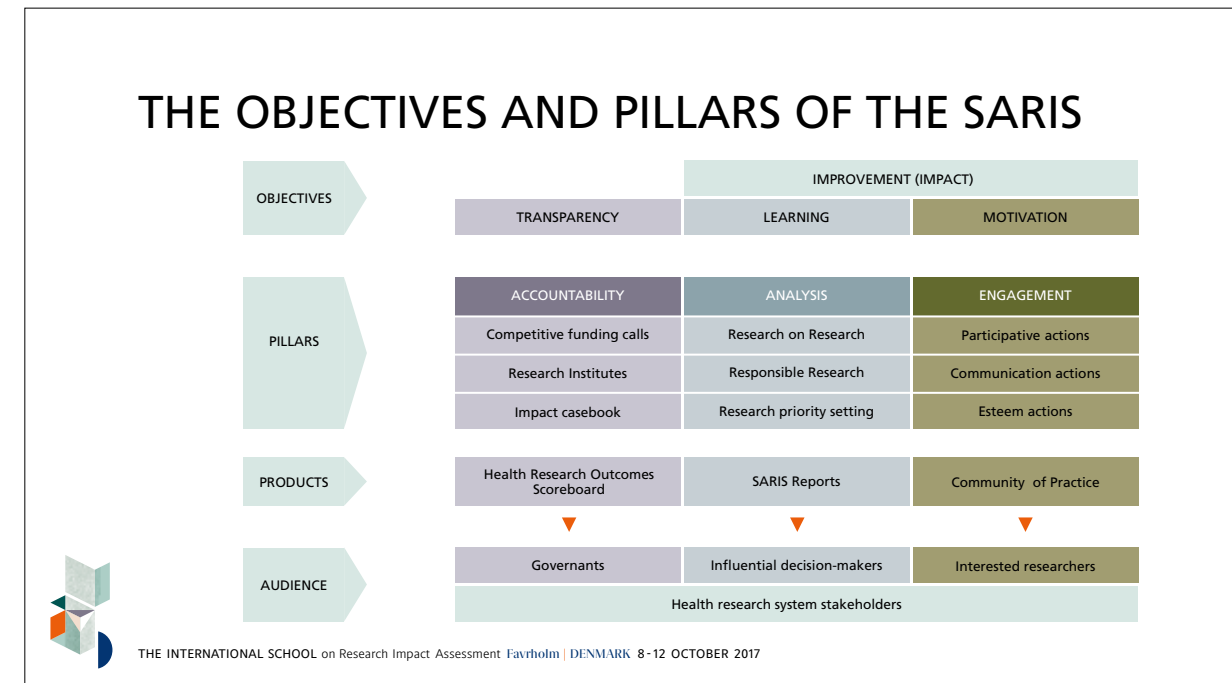
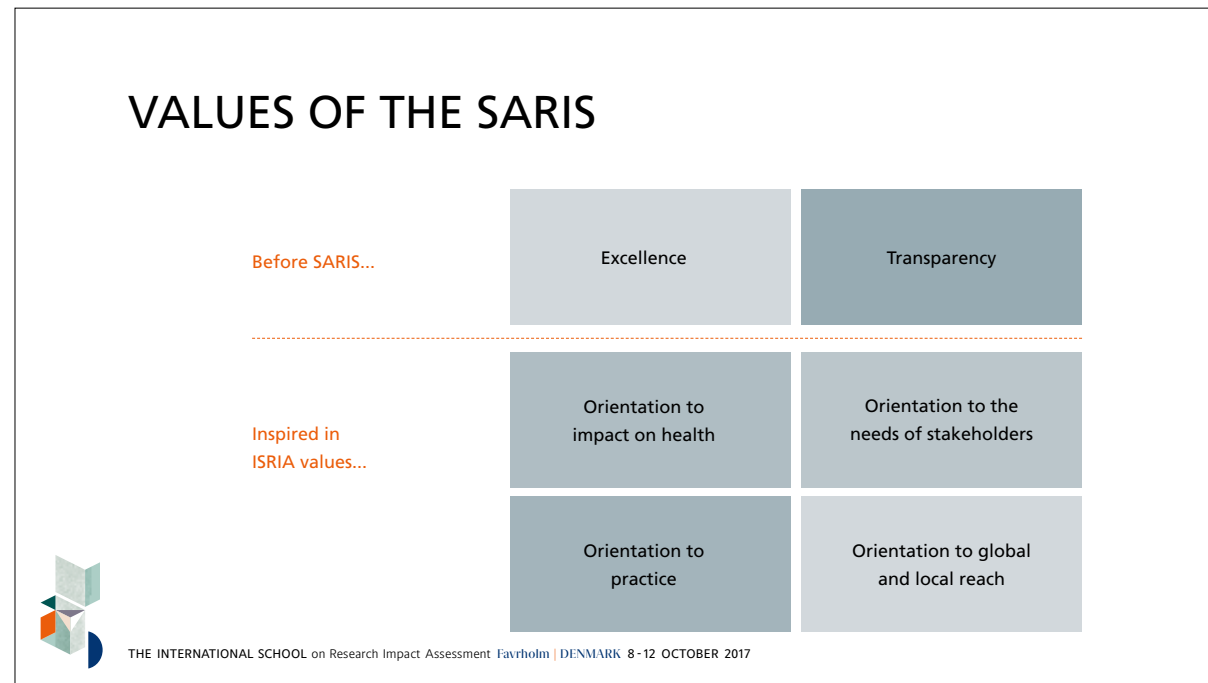
STANDARDISED PROCESS OF RIA

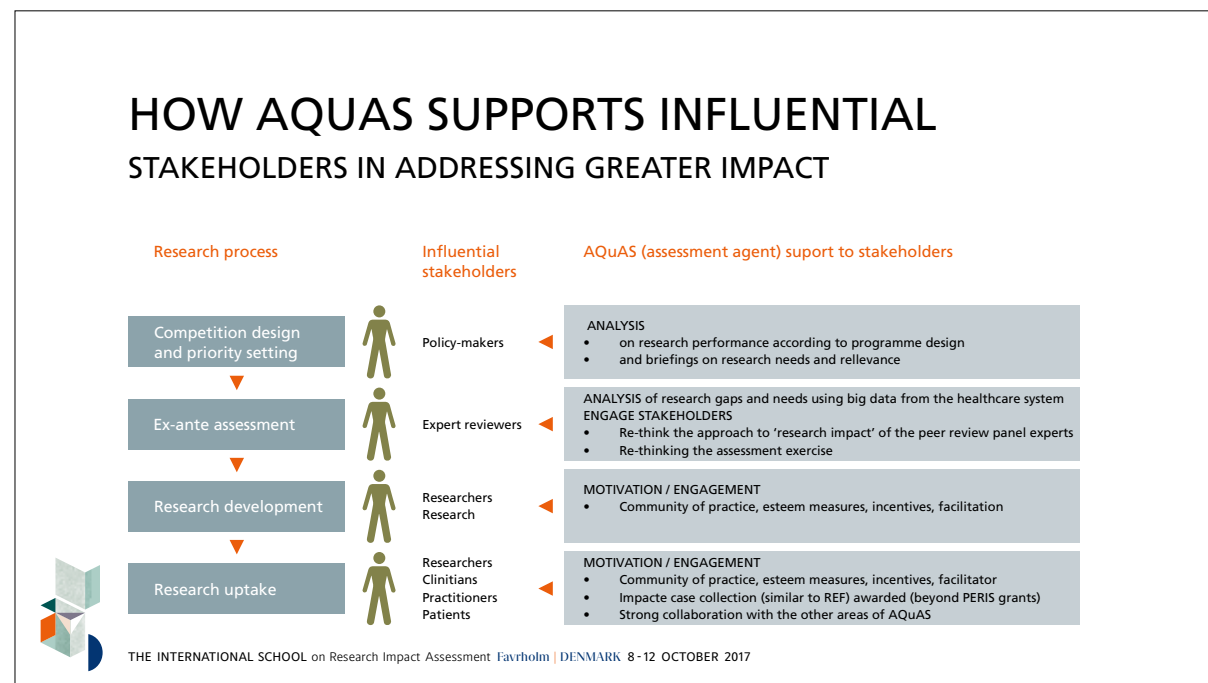
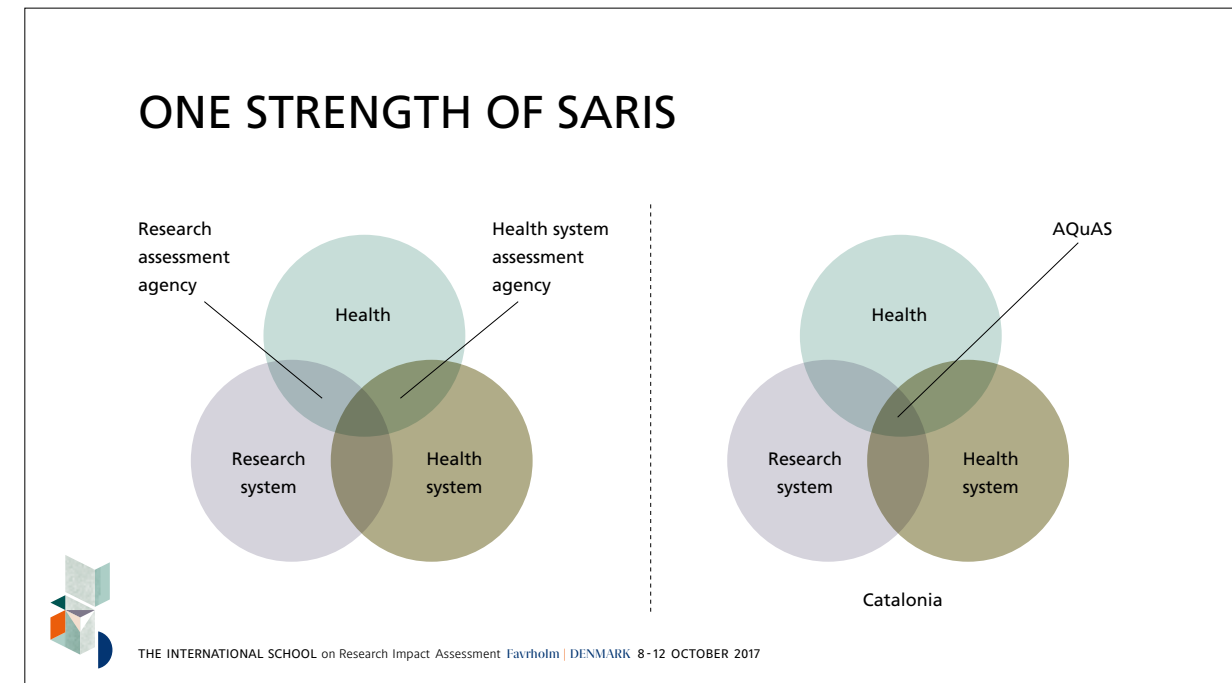
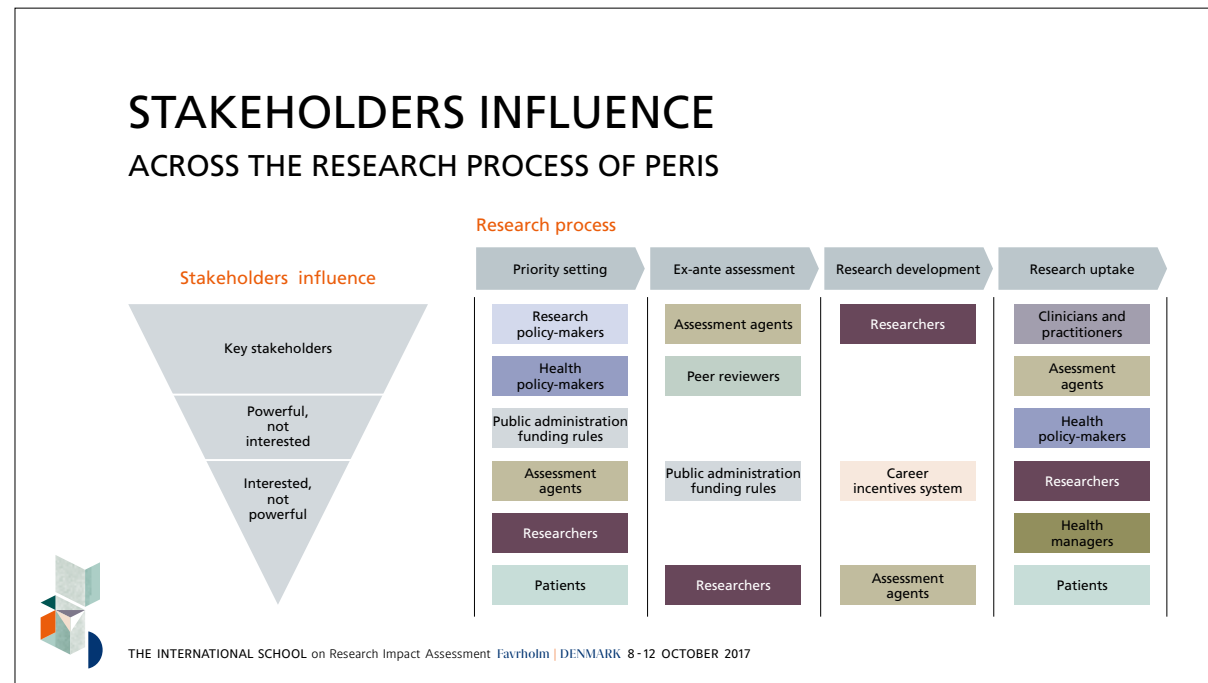
DESIGN USED BY THE ISOR GROUP IN AQUAS

| What is being assessed? | General approach to a RIA study | RIA question specification | Choice of mix-methods | Key informants / players | RIA product |
|--|---|--|--|--|--|
| <div style="border: 1px solid #ccc; padding: 2px; width: 50px; margin: 2px;">Project</div> <div style="border: 1px solid #ccc; padding: 2px; width: 50px; margin: 2px;">Research group</div> <div style="border: 1px solid #ccc; padding: 2px; width: 50px; margin: 2px;">Programme</div> <div style="border: 1px solid #ccc; padding: 2px; width: 50px; margin: 2px;">Institut/centre / university</div> <div style="border: 1px solid #ccc; padding: 2px; width: 50px; margin: 2px;">Disease / discipline</div> <div style="border: 1px solid #ccc; padding: 2px; width: 50px; margin: 2px;">Region, country</div> |  | <div style="border: 1px solid #ccc; padding: 2px; width: 50px; margin: 2px;">Assessment question</div> | <div style="border: 1px solid #ccc; padding: 2px; width: 50px; margin: 2px;">Bibliometrics</div> <div style="border: 1px solid #ccc; padding: 2px; width: 50px; margin: 2px;">Questionnaires</div> <div style="border: 1px solid #ccc; padding: 2px; width: 50px; margin: 2px;">Interviews</div> <div style="border: 1px solid #ccc; padding: 2px; width: 50px; margin: 2px;">Economic evaluation</div> <div style="border: 1px solid #ccc; padding: 2px; width: 50px; margin: 2px;">Network analysis</div> <div style="border: 1px solid #ccc; padding: 2px; width: 50px; margin: 2px;">Data mining</div> | <div style="border: 1px solid #ccc; padding: 2px; width: 50px; margin: 2px;">Researchers</div> <div style="border: 1px solid #ccc; padding: 2px; width: 50px; margin: 2px;">Healthcare managers</div> <div style="border: 1px solid #ccc; padding: 2px; width: 50px; margin: 2px;">Healthcare professionals</div> <div style="border: 1px solid #ccc; padding: 2px; width: 50px; margin: 2px;">Research managers</div> <div style="border: 1px solid #ccc; padding: 2px; width: 50px; margin: 2px;">Industry</div> <div style="border: 1px solid #ccc; padding: 2px; width: 50px; margin: 2px;">Patients</div> | <div style="border: 1px solid #ccc; padding: 2px; width: 50px; margin: 2px;">Assessment report</div> <div style="border: 1px solid #ccc; padding: 2px; width: 50px; margin: 2px;">Flagship publication</div> <div style="border: 1px solid #ccc; padding: 2px; width: 50px; margin: 2px;">Dissemination brief</div> <div style="border: 1px solid #ccc; padding: 2px; width: 50px; margin: 2px;">Case reports</div> <div style="border: 1px solid #ccc; padding: 2px; width: 50px; margin: 2px;">Scientific articles</div> <div style="border: 1px solid #ccc; padding: 2px; width: 50px; margin: 2px;">Recommendation</div> |
| <div style="display: flex; justify-content: space-between; align-items: center;"> Experts AQuAS team -multidisciplinary experience Expert panels External reviewers </div> | | | | | |



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THANK YOU FOR YOUR ATTENTION!

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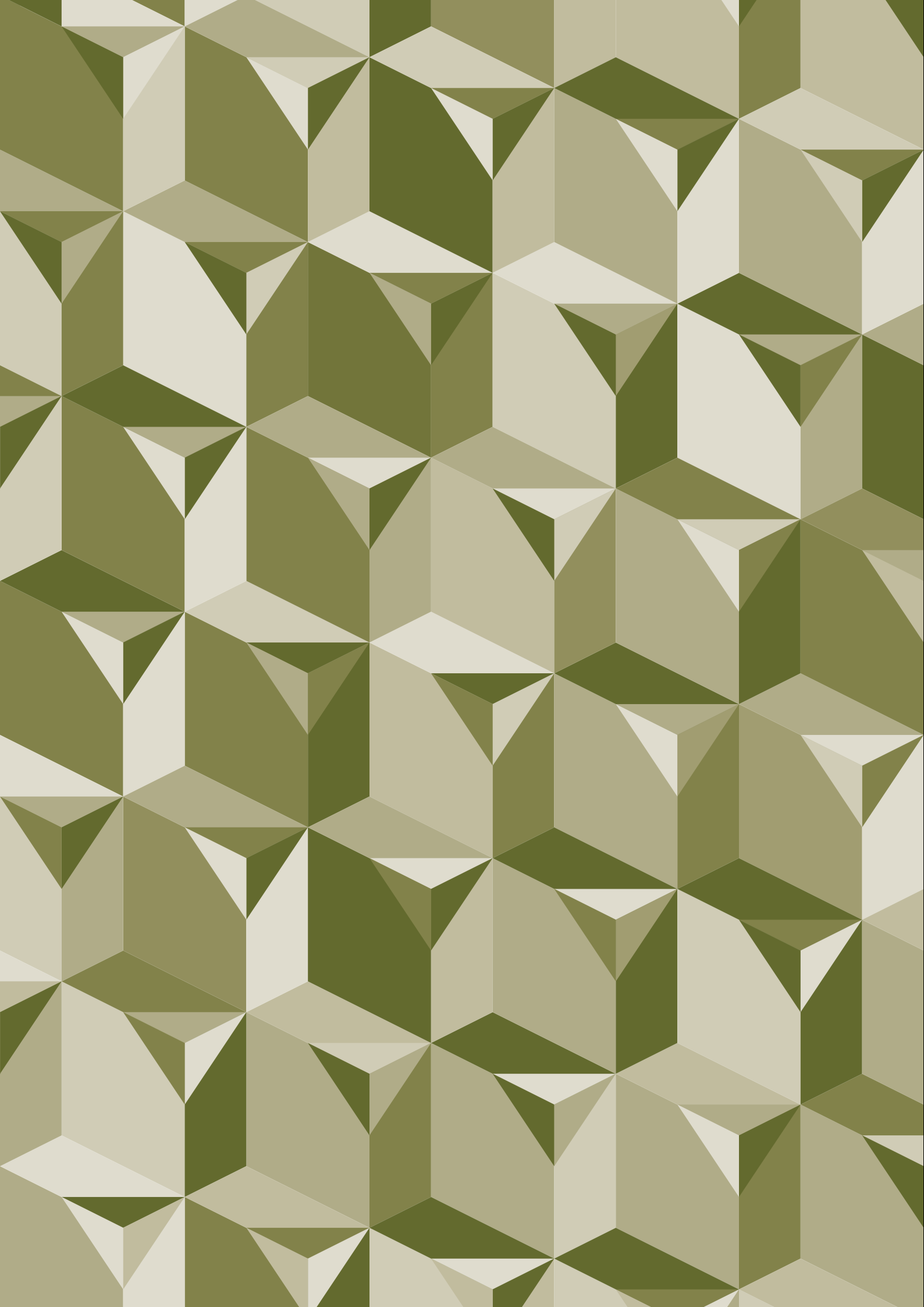
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BLOCK 2

2

ASSESSMENT QUESTIONS

Deanne Langlois-Klassen, Alberta Innovates

ASSESSMENT QUESTIONS

DEANNE LANGLOIS-KLASSEN
Alberta Innovates



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“The most serious mistakes are not being made as a result of wrong answers. The truly dangerous thing is asking the wrong question.”



Peter F. Drucker, Men, Ideas and Politics Harvard Business Review Press, 2010
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LEARNING OUTCOMES

- ▶ Understand how to develop assessment questions
- ▶ Describe the characteristics of good assessment questions
- ▶ Write specific assessment questions given stakeholders, purpose and general question(s)



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ASSESSMENT QUESTIONS



Essential discussions about:

- Who wants the answers
- Intended use (purpose)

Give structure to the assessment

Facilitate appropriate and thoughtful planning



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BUT....



Developing questions of relevance and quality is not without its **challenges**

FACTORS TO CONSIDER



Focus on the most important information needs

PROCESS FOR DEVELOPING QUESTIONS

- ▶ Clarify the program objectives
 - What is to be achieved?
- ▶ Identify the assessment purpose
- ▶ List and prioritize general questions
- ▶ Determine which specific questions can be realistically addressed

"GOOD" QUESTIONS



- Relevant to stakeholder needs & purpose
- Reasonable & appropriate to actual program activities
- Answerable
 - Observable indicators available
 - Available time, resources & expertise
- Not just about "what" but also "how good"
 - Associated with relevant criteria by which to judge performance
- Avoid ambiguous or vague terms

GENERAL ASSESSMENT QUESTIONS

Broad, overarching questions that the stakeholders need answered for the purpose(s) of the assessment

- What the assessment is expected to answer
- Focus on a small number of questions (5-7)



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EXAMPLES OF GENERAL QUESTION

Is the program producing the expected impacts?

Were there any unintended (positive or negative) impacts?



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PRIORITIZE GENERAL QUESTIONS

- Align with the purpose
- Are of importance to most stakeholders
- Provide necessary information on important program areas
- Can be answered with available resources and on time
- Will be supported (and used) by the assessment stakeholders



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SPECIFIC ASSESSMENT QUESTIONS



Identify a set of specific questions for each general question that, when answered, fulfill the purpose

- Informs indicator selection
- Consider existing or requested indicators
- Include an agreed upon performance standard



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DEVELOPING SPECIFIC QUESTIONS



Use logic model to identify program elements essential to the performance issue raised by each general question

- Increases likelihood of specific questions being **important** and **relevant**



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KEY MESSAGES

- 1 Questions link to assessment purpose
- 2 Logic model is an important tool for developing specific questions
- 3 Co-develop questions with stakeholders
- 4 Ensure good and quality questions
- 5 Prioritization is often required
- 6 Don't rush the process!

If you do not know how to ask the right question, you discover nothing.

W. Edwards Deming



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LEARNING ACTIVITY



10-12 MINUTES

IN SMALL GROUPS

ROLL THE DICE!

Roll the dice to determine what you are working with:

- 1st roll = Assessment Purpose
- 2nd roll = Stakeholder Group
- 3rd roll = General Assessment Question

Develop a specific question based on the dice rolls



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FURTHER READING

- Centers for Disease Control and Prevention (CDC). (2013). Good evaluation questions: a checklist to help focus your evaluation. Available at: http://www.cdc.gov/asthma/program_eval/assessingevaluationquestionchecklist.pdf
- McDavid JC, Huse I, Hawthorn LRL. (2013). Program Evaluation and Performance Management: An Introduction to Practice (2nd ed.). Thousand Oaks, CA: Sage Publications, Inc.
- Preskill H & Jones N. (2009). A Practical Guide for Engaging Stakeholders in Developing Evaluation Questions. Robert Wood Johnson Foundation. Available at: <http://www.rwjf.org/pr/product.jsp?id=49951>
- Rossi PH, Lipsey MW, Freeman HE. (2004). Evaluation: A Systematic Approach (7th ed.). Thousand Oaks, CA: Sage Publications Inc.
- Alkin MC. (2011). Evaluation Essentials: From A to Z. New York, NY: The Guilford Press.



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BLOCK 3 DEFINING INDICATORS OF SUCCESS

3

Indicators of Success

Anne-Maree Dowd, CSIRO

Kathryn Graham, Alberta Innovates

BLOCK 3

DEFINE INDICATORS OF SUCCESS

Learning Outcomes:

- Understand how to generate a balanced set of key performance indicators (KPIs)
- Use your impact pathway (logic model) to generate indicators
- Select KPIs of interest to stakeholders
- Understand how to operationalise KPIs

Programme Theory

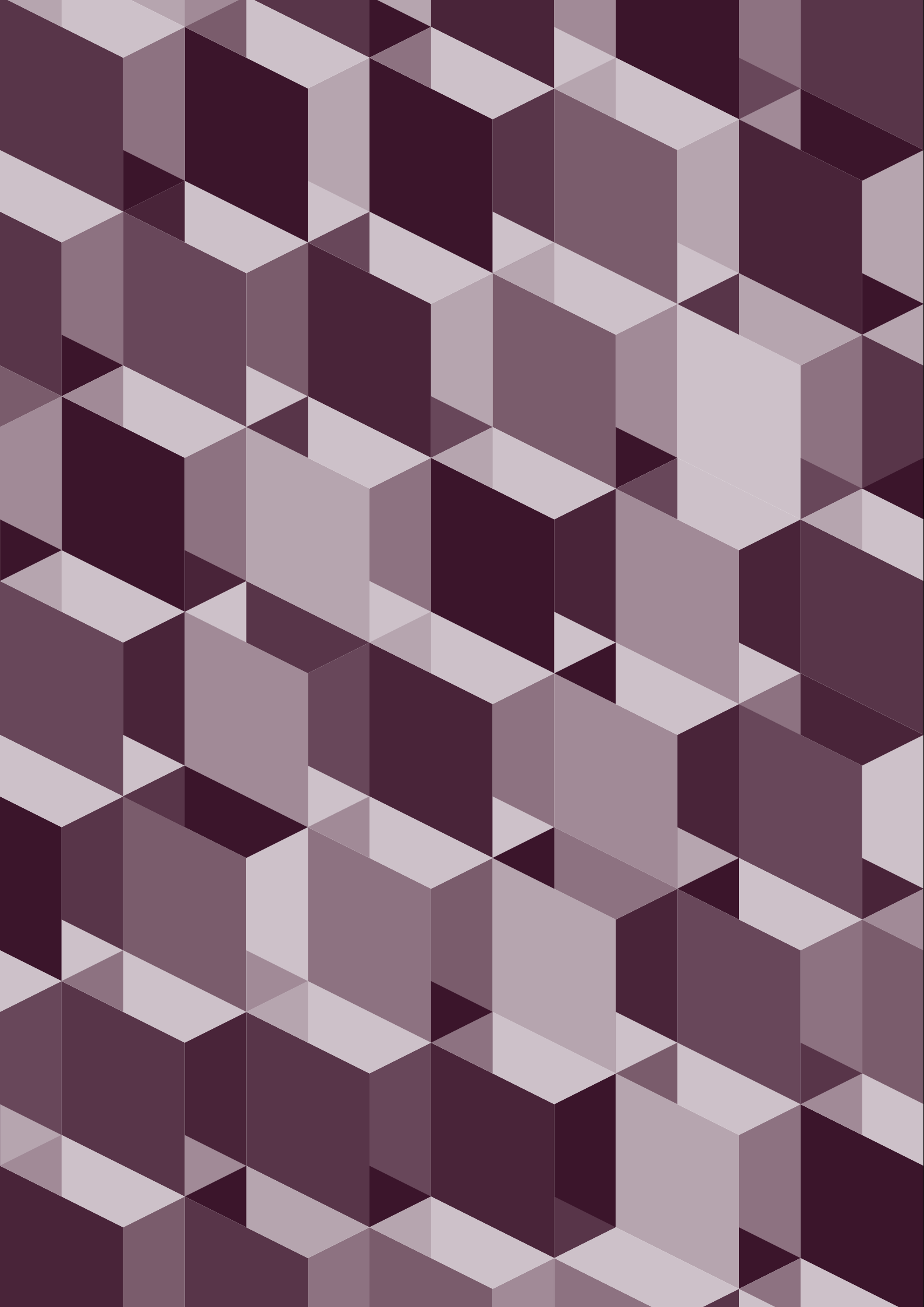
Information Required in RIA Plan:

- A narrative about how the programme is understood to contribute to the intended impacts through its activities, which could be articulated in the form of a narrative (e.g., theory of change statement) or as a table or figure (e.g., programme logic model, strategy map, etc.)
- Clearly explain the linkages between the inputs, activities, outputs, reach, and impacts
- External factors that influence whether the impacts will be achieved

Sources: Programme documentation and stakeholder communication.

Tips:

- Use a series of 'if...then' questions to develop the programme theory (e.g., if these inputs are provided, then the programme can complete those activities, etc.)
- When developing the programme theory, note any critical assumptions that could jeopardise the programme's success as well as any critical success factors. If measured, these factors could provide significant insight into the assessment results.
- The programme theory should be written so that a reader who is unfamiliar with the programme will understand it
- If a specific framework (see Block 1) is not being used, clearly articulate what the programme intends to change



BLOCK 3

3

INDICATORS OF SUCCESS

Anne-Maree Dowd, CSIRO
Kathryn Graham, Alberta Innovates

INDICATORS OF SUCCESS

KATHRYN GRAHAM
Alberta Innovates

ANNE-MAREE DOWD
CSIRO



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WHY IS MEASUREMENT IMPORTANT?

“What gets measured gets improved”



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Peter F. Drucker

LEARNING OUTCOMES

- ▶ Know the characteristics of good indicators
- ▶ Understand the steps in operationalising Key Performance Indicators (KPIs)
- ▶ Select KPIs of interest to your stakeholders
- ▶ Generate a balanced set of KPIs across the impact pathway



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INDICATORS DEFINED



Measure, metric and indicator often used interchangeably

- Indicator: The particular characteristic or dimension used to determine change (e.g. speed)
- Measure/metric: The unit of measurement (e.g. km/hr)



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IMPORTANCE OF 'GOOD INDICATORS'



Tells a brief, convincing performance story about what has (or has not) been achieved

- Especially when using a balanced set of indicators

Provides the evidence to answer stakeholder questions about impact

TYPES OF INDICATORS

| LEADING | LAGGING |
|--|--|
| <p>Gives an indication BEFORE the anticipated impact occurs</p> <p>CHARACTERISTICS:</p> <ul style="list-style-type: none"> • Input-oriented • Hard to measure • Easy to influence <p>e.g. patient daily referral volumes</p> | <p>Provides the evidence AFTER the impact has occurred</p> <p>CHARACTERISTICS:</p> <ul style="list-style-type: none"> • Output-oriented • Easy to measure • Hard to influence or improve <p>e.g. patient average referral to admission cycle times</p> |

USE OF 'GOOD' INDICATORS



Help track progress and achievement of goals

Provide measures of change (or not) to inform decisions and actions

Feed into reporting systems

STEPS FOR GENERATING & SELECTING INDICATORS

1. **Engage** stakeholders and strategically align
2. **Develop** assessment questions across your impact pathway
3. **Generate** a list of possible indicators
4. **Assess** and select the best KPIs
5. **Review** indicators for use and action

STEP 1: ENGAGE STAKEHOLDERS & STRATEGICALLY ALIGN



Participative approach

- Ask stakeholders about impacts and indicators of interest

Strategically align & review purpose and target

- Vision & mission
- Program goals & objectives
- Organisational and or external mandatory requirements



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EXAMPLE OF QUESTIONS AND INDICATORS ALONG THE IMPACT PATHWAY

| INPUTS | ACTIVITIES | OUTPUTS | OUTCOMES | IMPACTS |
|--|---|---|--|--|
| What resources were invested in the Program? | What are you doing to accomplish your Program goals? | What are the direct products / services / solutions produced by your Program? | What was the uptake or adoption of your Program outputs? | What were the benefits / consequences of using your solutions? |
| <ul style="list-style-type: none"> • staff FTE • non-staff FTE • appropriation funding • external funding • grants • in-kind contributions • equipment/facilities | <ul style="list-style-type: none"> • research/technology • development • education • industry engagement (incl. SMEs) • international engagement | <ul style="list-style-type: none"> • publications • prototypes • patents applications • training packages • students who completed mentorship training • new services • new/updated standards • reports | <p>AWARENESS AND UPTAKE</p> <ul style="list-style-type: none"> • awareness of products • training accessed by users • new research protocols and techniques used <p>ADOPTION</p> <ul style="list-style-type: none"> • stakeholder adoption • process changes implemented • behavioural change • sales of new products • licenses / IP sold | <p>ECONOMIC IMPACT</p> <ul style="list-style-type: none"> • diversified economy • quality workforce • productivity improvement <p>ENVIRONMENTAL IMPACT</p> <ul style="list-style-type: none"> • water savings • habitat rehabilitation • reduced CO₂ emissions <p>SOCIAL IMPACT</p> <ul style="list-style-type: none"> • health • wellbeing • social cohesion |



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STEP 2: DEVELOP IMPACT ASSESSMENT QUESTIONS ALONG YOUR IMPACT PATHWAY



Develop impact assessment questions
Ask stakeholders what they need to know



Indicators
Gives the evidence to answer their questions



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STEP 3: GENERATE A LIST OF POSSIBLE INDICATORS

RESEARCH LITERATURE BEST PRACTICES

- MIXED METHODS AND MULTI-DATA SOURCES:
- Mix of qualitative and quantitative indicators
 - Triangulate across multiple data sources

EXAMPLE OF INDICATORS:

- Highly Skilled People
- New or improved products/services
- Annual growth sales per year

EXAMPLE OF DATA SOURCES:

- Indicator libraries
- Software application tools



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TWO APPROACHES

Benchmarking for Comparison Purposes


Easier to benchmark if use standardized indicators with definitions

- Enables comparison across different organizations
- Assist in driving continuous improvement

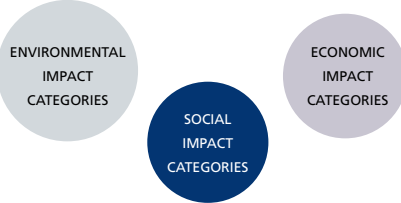
Use of Impact Categories allows "Fit for Purpose" Indicators

Identifies common impact areas


- Encourages thinking about the types of impact
- Can choose different indicators
- Allows for customised continuous improvement



NAPHRO INDICATORS




ENVIRONMENTAL IMPACT CATEGORIES
SOCIAL IMPACT CATEGORIES
ECONOMIC IMPACT CATEGORIES




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TWO APPROACHES

"FIT FOR PURPOSE" INDICATORS




| ENVIRONMENTAL IMPACT CATEGORIES | SOCIAL IMPACT CATEGORIES | ECONOMIC IMPACT CATEGORIES |
|--------------------------------------|--|---|
| 1. Air quality | 1. Health and wellbeing | 1. National economic performance |
| 2. Ecosystem health and integrity | 2. Access to resources and opportunities | 2. Trade an competitiveness |
| 3. Climate | 3. Quality of life (material security and livelihoods) | 3. Productivity and efficiency |
| 4. Natural hazards mitigation | 4. Safety | 4. Management of risk and uncertainty |
| 5. Energy generation and consumption | 5. Security (e.g. cyber, biological, civil and military) | 5. Policies and programs |
| 6. Land quality | 6. Resilience | 6. New services, products, experiences and market |
| 7. Aquatic environments | 7. Indigenous culture and heritage | 7. Securing and protection existing markets |
| 8. Built environments | 8. Innovation and human capital (creativity and invention) | |
| | 9. Social cohesion | |



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TWO APPROACHES

NAPHRO INDICATORS



NAPHRO INDICATORS


| NAPHRO indicators |
|--|
| Provincial share of national & other funding |
| Research & Innovation (R&I) GDP |
| Pharmaceutical R&I spending |
| Biotechnology R&I spending |
| Federal-level funding success rates |
| Patents |
| Licensing |
| Spin-offs |
| Employment |
| Educational impacts |



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1


LEARNING ACTIVITY



15 MINUTES

IN SMALL GROUPS

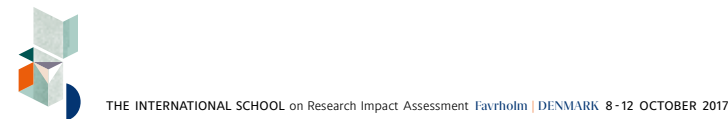
- 1 At your table choose the envelope labelled road trip indicators
- 2 Read the instructions provided and discuss in your group which indicators map best to the impact pathway



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STEP 4: ASSESS & SELECT THE BEST KPIS

- 1 Think of the 'big picture'
- 2 Importance and feasibility
- 3 Some indicators are better at:
 - Telling a story that typically needs several indicators
 - Answering the 'so what' question
 - Informing action – the 'now what'



TOOLS FOR SELECTING KEY PERFORMANCE INDICATORS

| 1. DELPHI TECHNIQUE | 2. INDICATOR QUADRANT TECHNIQUE |
|--|---------------------------------|
| Structured way to collect qualitative information from experts in relevant fields Use ranking, scoring & feedback to arrive at consensus Used to develop & select performance indicators Delphi characteristics: <ul style="list-style-type: none"> • Structured information flow • Regular feedback • Participant anonymity | |



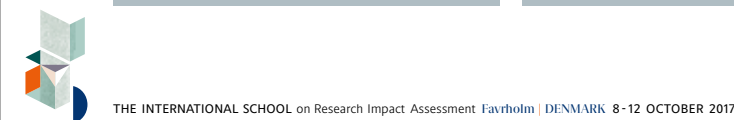
CRITERIA FOR SELECTING A BALANCED SET OF INDICATORS

- F** Focused on the organization's objectives
- A** Appropriate for the stakeholders who are likely to use the information
- B** Balanced to cover all significant areas of work performed by an organization
- R** Robust enough to cope with organizational changes (such as staff changes)
- I** Integrated into management processes
- C** Cost-effective (balancing the benefits of the information against collection costs)




STEP 5: REVIEW INDICATORS FOR USE AND ACTION

| CAUTIONS | HOW TO MITIGATE |
|-------------------------------------|---|
| Only selecting available indicators | Identify aspirational indicators & data sources |
| Measuring too many things | Select a key set of indicators |
| Using too narrow of a set | Balanced set of indicators |
| Using only lagging indicators | Balance with leading indicators |
| Double counting | Look at contribution bundles |
| Focusing on the indicator | Focus on the program change |




2

LEARNING ACTIVITY



15 MINUTES
IN SMALL GROUPS

- 1 The envelope labeled "Indicators" contains a number of indicators
- 2 Sort the indicators from least to most important and Select 3 key performance indicators (KPIs) that best answer the assessment question
- 3 Provide a rationale for why you selected each of your 3 KPIs and why other indicators were excluded



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THANK YOU!



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KEY MESSAGES

- 1 Engage stakeholders
- 2 Impact pathways can be a useful tool
- 3 Triangulate data sources for generating indicators
- 4 Use criteria to select a balanced set of KPIs
- 5 Evidence from indicators should inform action
- 6 Don't rush the process!

Metrics alone are not sufficient for assessing impact



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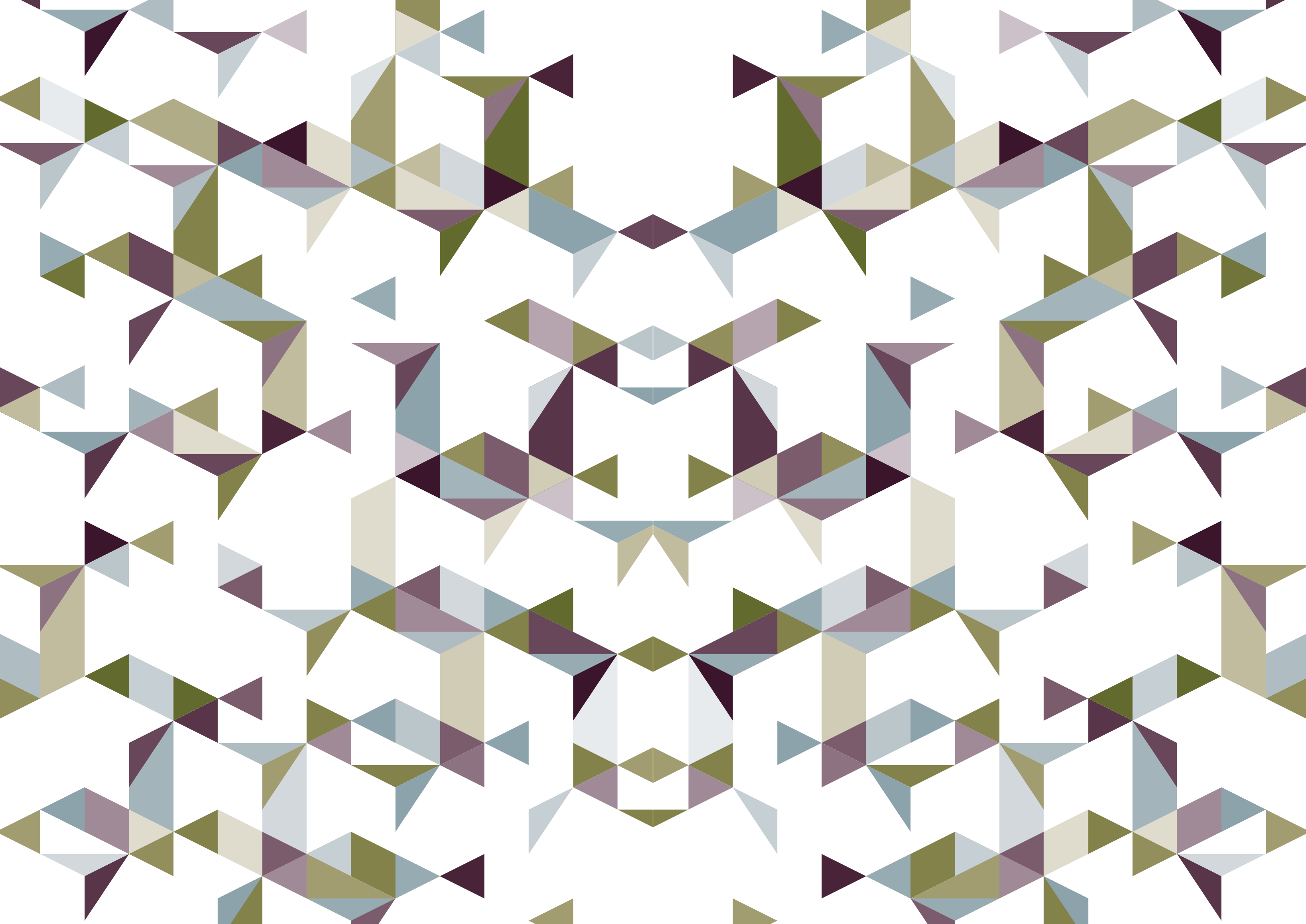
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UNDERSTAND THE CONTEXT

IDENTIFY THE ASSESSMENT PURPOSE

DEFINE INDICATORS OF SUCCESS



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