



Joint evaluation for joint governance of challenge-oriented research

Leonie van Drooge & Jasper Deuten, Open Evaluation 2016, Vienna, 24 Nov 2016

Agenda

- Main question: How to evaluate challenge-oriented research?
- This presentation:
 - What is challenge-oriented research?
 - Governance challenges of challenge-oriented research
 - Evaluation challenges of challenge-oriented research
 - Examples – small steps
 - Lessons learnt

Challenge-oriented research

- Societal challenges require societal transitions
- Research should contribute to such transitions
- This requires a transition of the research system as well
- Complex 'theory of change': Research has to contribute to complex, non-linear, long-term, open-ended and contested transformation journeys or transitions paths
- In challenge-oriented research various societal actors engage with the scientific community (→ 'open science')

Governance of challenge-oriented research

- Joint agenda-setting & programming
 - Partly converging and partly diverging goals
 - Impact on a selected challenge as mutual starting point
 - For example: National Science Agenda in the Netherlands
- Joint funding
 - Multiple sources from various public and private sectors & geographies, different funding regimes, ...
 - For example: involvement of charities, JPI
- Co-creation
 - Transdisciplinary, user-involvement, PPP, ...
 - For example: living labs in cities

Evaluation of challenge-oriented research

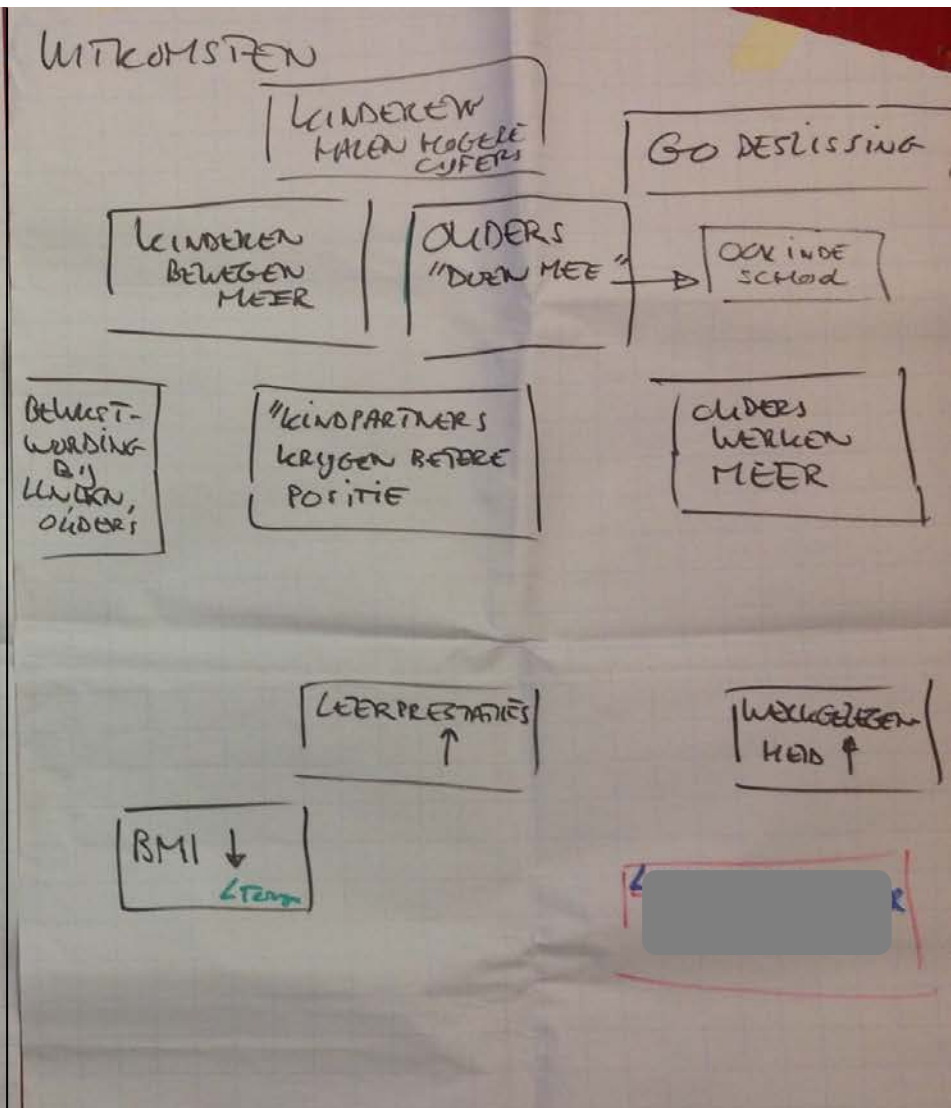
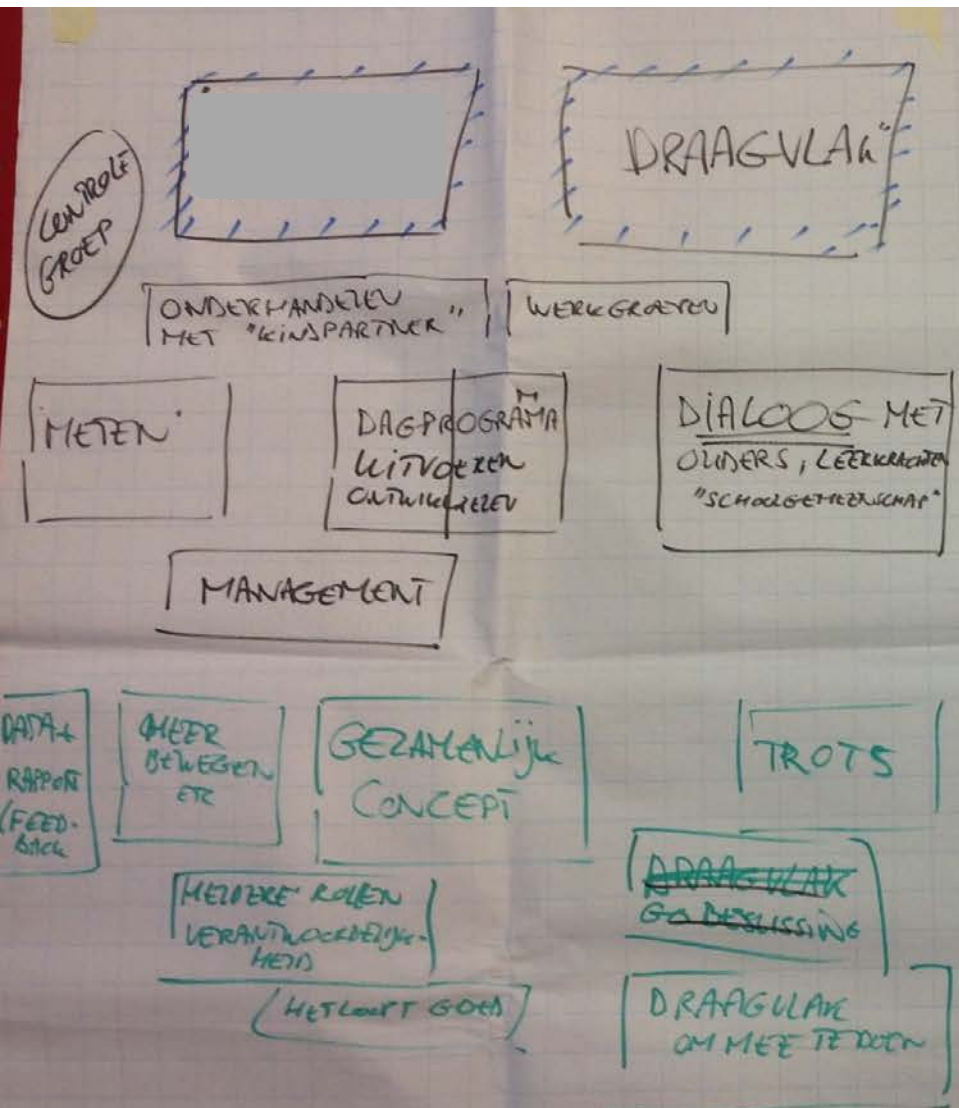
- Conventional research evaluation criteria and methods do not suffice
 - Academic peers are one of many stakeholder groups
 - Scientific quality not an end in itself
 - Other notions of quality and impact needed
- Contribution of research (project / programme / organisation) to societal transitions
 - Theory of change: A joint vision and a joint causal logic that explains how activities are understood to produce a series of results that contributes to achieving final impacts
 - In terms of 'outputs' → 'outcomes' → 'impacts'

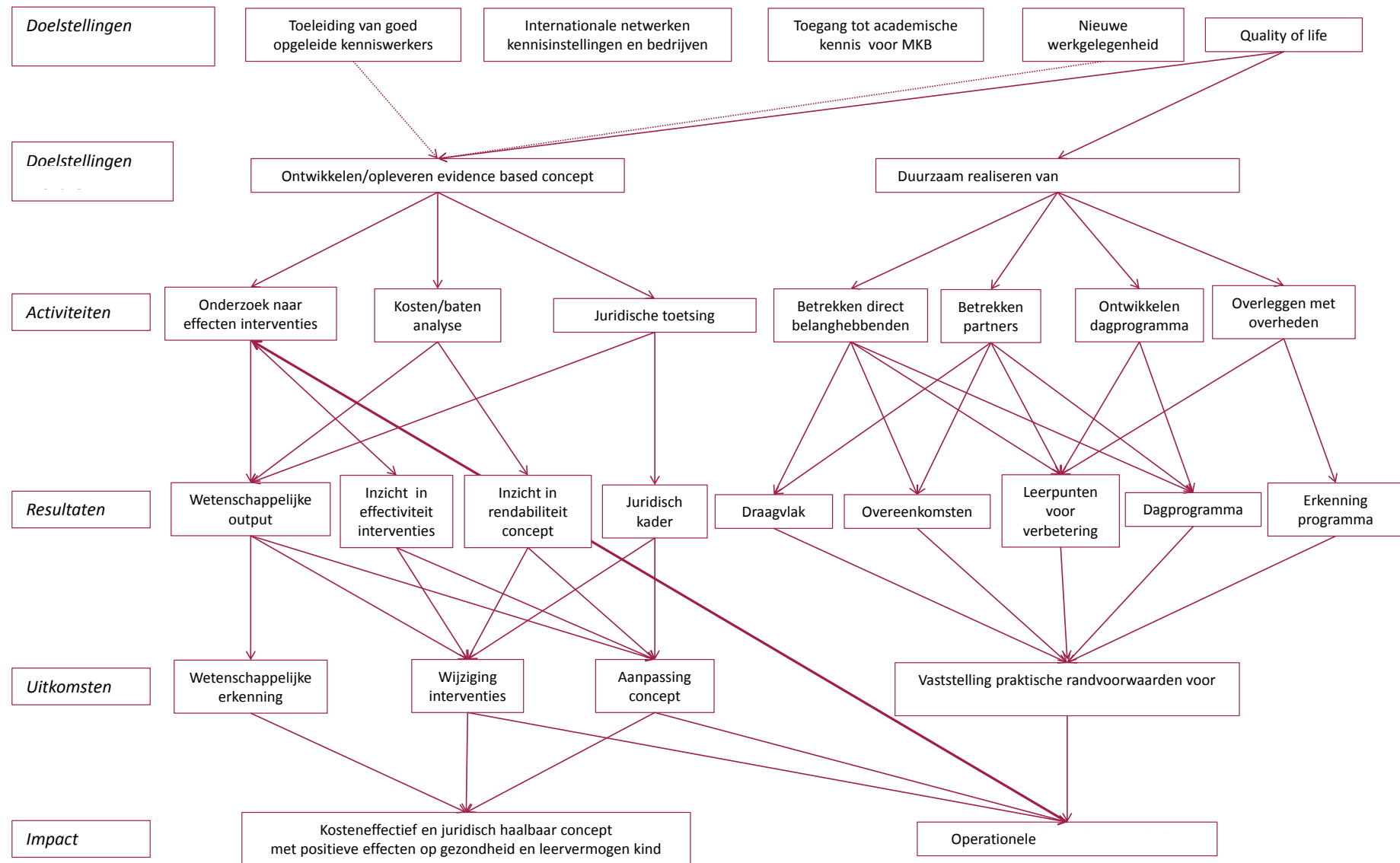
Joint evaluation

- Evaluation as a joint process
- Evaluation as an ongoing process
- Evaluation (and monitoring) as a horizontal form of governance
- Evaluation to learn

Example 1: A regional programme

- Regional consortium: regional government, knowledge institutes, (partly private owned) science/business parks
- 10 year strategic program to strengthen economic and social structures through collective knowledge development
- Total budget €500 billion
- 15 multi stakeholder projects
- Joint workshop at the start of the first 4 projects





Example 2: Medical funds and impact

- Medical funds and medical research councils have developed participatory approaches to enhance impact:
 - Include patients, doctors, nurses,...
 - In agendasetting, project selection,....
- Changed funding schemes (ongoing research lines, shorter projects, longer projects, PPP's)
- Still dissatisfied – impact is not the focus in many projects
- Include scientists: Joint workshop with funders and scientists to define governance options

Example 3: protocol for applied research org's

- Six Applied Research Organisations in the Netherlands:
 - Develop, apply and disseminate knowledge in order to resolve societal challenges and support govt tasks
 - Strengthen innovativeness and competitiveness of NL
 - Manage strategic research facilities
- Ministry of Economic Affairs is process-managing ministry
- Ministry of Economic Affairs (different directorate) and other ministries are content managers
- The Dutch Standard Evaluation Protocol (for academic research) doesn't fit

Example 3 ctd: process of developing protocol

- Include, engage, involve all : ministries, applied research organisations, stakeholders
- Inventory: what has been used, what is standard procedure, what is needed, what is required?
- Joint agreement on
 - Common tasks and missions of different institutes
 - Evaluation criteria and operationalization of criteria:
 - Research quality
 - Impact of research
 - Viability of organisations

Example 3 ctd: joint agreements

- Purpose of monitoring and evaluation protocol:
 - To learn for/by individual organisation
 - To provide insight into the significance of these organisations for R&D in NL
- Impact:
 - perceived as knowledge utilisation by users
 - perceived as an approach to promote knowledge utilisation by users (=process)
- Roles are defined (unlike Dutch SEP):
 - Role of process manager and content manager

Example 4: evaluation in academic hospital

- Academic hospital Utrecht (UMC Utrecht)
- New “qualification portfolio” (=individual appraisal)
- New evaluation framework (ex post, research groups)
- Mission of UMC Utrecht is central
- Away from output-based summative evaluation
- Towards process-based formative evaluation
- Impact takes time, so the organisation of research is important

Conclusions

- New roles for all included and different balance
 - Scientists
 - Funders
 - Us
- Time is needed to create “joint”
- Joint governance includes the joint development of joint evaluation approaches

Thank you!

Leonie van Drooge

l.vandrooge@rathenau.nl

@LeonievanDrooge

Jasper Deuten

j.deuten@rathenau.nl