



Ymchwil Iechyd  
a Gofal **Cymru**  
Health and Care  
Research **Wales**



# Health and Care Research Wales Performance Management Framework

## BACKGROUND

1. Research and development (R&D) plays a central role in improving health and wellbeing, effectiveness of services and wealth generation.

**a. Improving health and wellbeing** - Numerous ground-breaking discoveries through research have resulted in novel and innovative ways of preventing and treating illness that have greatly improved health and wellbeing. Basing more health and social care decisions on evidence about what works allows resources to be focused where they will be most effective, through both appropriate investment and disinvestment. Providing the means to tackle the major challenges of health and wellbeing, ill health and inequalities through effective R&D is key to improving the health and wellbeing of the nation.

**b. Improving effectiveness and efficiency of services** - The appropriate implementation of R&D findings allows services to embrace new ways of working and opportunities to improve care, quality, productivity and outcomes. The ability to transform services through high quality research facilitates the achievement of excellence in health and social care. A dynamic and innovative R&D culture has been shown to support effectiveness and improvement work and to create a better environment for social care and health professionals to work and develop in. This has the potential to increase the calibre and retention of staff working in and attracted to work in the NHS, social care, universities and other related sectors in Wales.

**c. Wealth generation** - Innovative R&D is associated with significant income generation. In addition to the development and exploitation of intellectual property, having a strong health science and social care research base fully integrated with the NHS and social services provides a platform to attract major investment from the pharmaceutical, biotechnology and other industries.

2. Health and Care Research Wales was launched on 14 May 2015. It is a national, multi-faceted virtual organisation comprising several distinct elements of infrastructure and funding schemes. It is funded and overseen by the Welsh Government's Directorate of Health Policy - Research and Development Division (hereafter Welsh Government Research and Development Division). Health and Care Research Wales places the public in a central position to facilitate the development of a world-leading health and social care research endeavour that is responsive to the needs of Wales, highlights the benefits that research can offer, effectively translates new discoveries into improved care and has a strong ethos of public/community engagement and co-production.

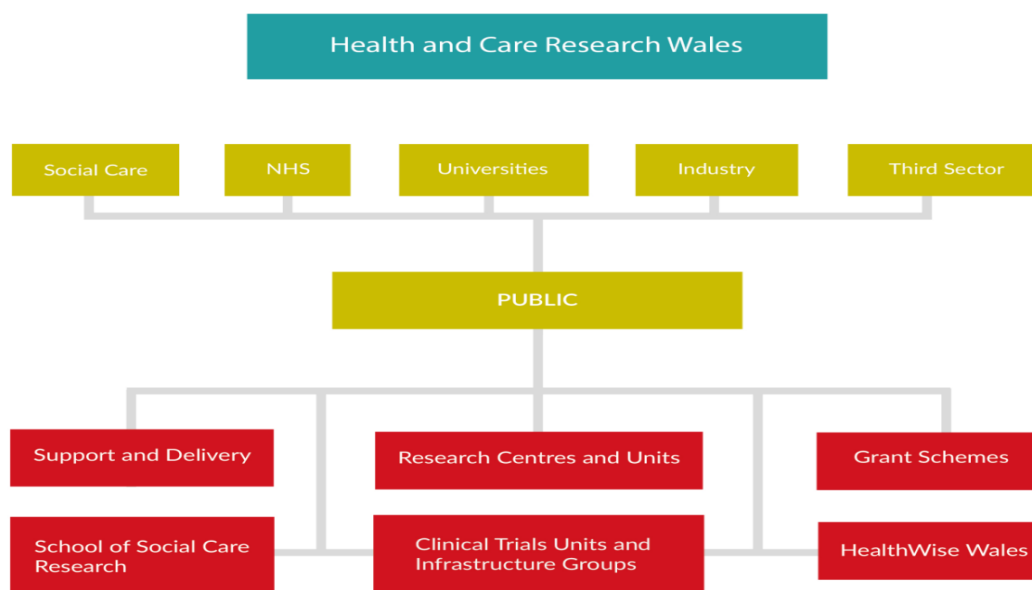
3. The vision of Health and Care Research Wales is for Wales to be internationally recognised for its excellent health and social care research that has a positive impact on the health, wellbeing and prosperity of the people in Wales. To achieve its vision, Health and Care Research Wales has identified six strategic aims:

a. Ensure public involvement and engagement is central to what it does and visible in all elements of it

- b. Ensure its work is aligned to Welsh Government policy and has real impact
- c. Fully integrate its infrastructure and programmes across health and social care
- d. Invest in areas in which Wales excels and is unique
- e. Increase capacity in health and social care research in Wales
- f. Develop systems that ensure excellent delivery and maximise the use of resources

4. Health and Care Research Wales provides an infrastructure to support and increase capacity in R&D, runs a range of responsive funding schemes and manages resources to promote, support and deliver research. It supports translational research with a particular focus on applied and public health research. This includes research into the mechanisms, prevention, detection and diagnosis of disease; the development and evaluation of interventions; the provision of health and social care services; and the implementation of research findings into practice.

5. Health and Care Research Wales' innovative infrastructure (see Figure below) and portfolio of funded programmes consolidates, updates and builds on what has been created and delivered to date, placing Wales at the international forefront of health and social care research. The new infrastructure allows a sharper focus on Wales' areas of excellence and emerging areas of excellence. It will ensure that an integrated, interdisciplinary, interagency, all Wales approach is taken across the translational spectrum.



## PERFORMANCE MANAGEMENT FRAMEWORK

6. It is vital that the performance of Health and Care Research Wales is monitored closely and appropriately managed with the assistance of indicators, covering both quantity and quality, which include public and patient benefit and economic growth.

7. Health and Care Research Wales has developed a performance management framework that is informed by the principles of Results Based Accountability and incorporates an adapted version of the REF Framework. The framework applies to everything the Welsh Government funds through Health and Care Research Wales. Given the diverse nature of Health and Care Research Wales, flexibility in emphasis between capacity building, excellence in research, and excellence in research impact is required to reflect the specific focus/stage of development of individual elements of the infrastructure/programmes.

8. Care is required to ensure the performance management framework is not over-bureaucratic and that expectations are realistic, given the time it is likely to take from funding to impact in certain areas. This will result in different targets being agreed for different elements of the infrastructure. Indicators concerning behaviours likely to lead to future impact will be included (e.g. collaborations with industry and policy officials).

### ***Impact***

9. The performance management framework has been designed to not only demonstrate the amount of activity that is undertaken, but importantly the quality of that activity and the difference this makes to the people of Wales. A key focus of assessment will, therefore, concern impact. To ensure all high quality impact is

captured, the original research on which impact is based will not need to have been undertaken in the Health and Care Research Wales entity in order for it to be admissible. Non-research based impact will also be admissible in some instances, e.g. for public involvement. The impact must, however, be shown to have relied on work of an element(s) of the Health and Care Research Wales infrastructure.

10. To demonstrate commitment, intent and readiness for the future, a forward-looking Impact Template (adapted from REF2014) will be completed by the relevant elements of infrastructure (e.g. Centres, Units, Wales Gene Park, SAIL, CTUs, WHESS) as part of their first annual report due by the beginning of June 2016. This template will describe the planned approach to supporting and enabling impact from research/other activities conducted. A review panel including external members with appropriate expertise in the key areas of impact on health and wellbeing, effectiveness of services and wealth generation, will assess the templates and provide formative feedback to support the development of the infrastructure being assessed. Templates amended as a result of the feed-back received will be published on the Health and Care Research Wales website.

11. A narrative exemplar impact case study, using an adapted REF form, will be completed by the relevant elements of infrastructure (e.g. Centres, Units, Wales Gene Park, SAIL, CTUs, WHESS) by the beginning of June 2017 as part of their second annual report. A review panel including external members with appropriate expertise in the key areas of impact on health and wellbeing, effectiveness of services and wealth generation, will assess the case studies and provide formative feedback to support their further development. Case studies amended as a result of the feed-back received will be published on the Health and Care Research Wales website.

12. In order to comprehensively assess the impact of Health and Care Research Wales as a whole, an overarching impact Template will be completed by Welsh Government, Research and Development Division covering all Health and Care Research Wales activity.

### **Indicators**

13. In addition to the information on impact, the following indicators will be used to determine the quantity and quality of Health and Care Research Wales activity undertaken. *Only activity contributed to by Health and Care Research Wales funding will be included.* Data to inform these indicators will be collected on an ongoing basis with individual annual performance targets set against them:

No	How Much Did We Do? (Quantity)	How Well Did We Do? (Quality)*
1	Total external research income	% decrease/increase on 2015/16 baseline
2	Total National Institute for Health Research (NIHR) Evaluation, Trials and Studies (NETS) income	% return on NETS investment
3	Total UK Research Council income	% decrease/increase on 2015/16 baseline

4	Number of applications to National Institute for Health Research (NIHR) Evaluation, Trials and Studies (NETS), (and any similar UK funding schemes in which Health and Care Research Wales participates)	% and number of applications to NETS, (and any similar) programmes that are successful
5	Number of jobs secured or created in Wales	annual % increase/decrease on 2015/16 baseline of the number of people employed (WTE) via Health and Care Research Wales investment
6	Funding leveraged by Health and Care Research Wales match funding in collaborative infrastructure investments	% decrease/increase on 2015/16 baseline
7	Commercial income generated	% decrease/increase on 2016/17 baseline
8	Number of papers published in journals	Health: % published in high impact journals (% increase/decrease on 2015/16) Social care : % increase/decrease on 2015/16 for all peer reviewed publications
9	Number of Health and Care Research Wales PhD Studentships awarded	of Health and Care Research Wales PhD Studentships awarded, the % submitted within 4 years
10	Number of Health and Care Research Wales Fellows obtaining Principal Investigator (PI) portfolio eligible grant funding within 3 years of completion of their award	% decrease/increase from 2014/15 baseline
11	Number of full NHS Ethics applications processed	% new full NHS Research Ethics Committee applications receiving a final Research Ethics Service decision within 40 calendar days
12	Number of recruiting NHS Clinical Research Portfolio (CRP) studies	% NHS Clinical Research Portfolio studies recruiting to time and target
13	Number of NHS Clinical Research Portfolio and commercial studies receiving NHS Research Permissions	% NHS Clinical Research Portfolio and commercial studies receiving NHS research permission within 40 calendar days
14	Number of participants recruited to NHS Clinical Research Portfolio studies	% decrease/increase over 2014/15 baseline
15	Number of recruiting NHS commercial sponsored studies	% NHS commercial sponsored studies recruiting

		to time and target
16	Number of studies on the social care portfolio	% decrease/increase over 2016/17 baseline
17	Number of Health and Care Research Wales events open to the public	% of public participants
18	Number of people in HealthWise Wales	% individuals continuing to participate in HealthWise Wales one year after joining
19	Number of people in the Health and Care Research Wales Involving People network	% of people in involving people network who are actively involved
20	Number of Health and Care Research Wales public involvement opportunities offered	% public involvement opportunities filled
21	Number of datasets available for linkage within Secure Anonymised information Linkage (SAIL)	% decrease/increase over 2014/15 baseline
22	Number of samples in supported tissue banks	% samples in supported tissue banks used for research
23	Number of Health and Care Research Wales funded students or fellows in a mentorship scheme	% increase/decrease eligible Health and Care Research Wales students or fellows in a mentorship scheme on 2016/17 baseline
24	Subscribers to Health and Care Research Wales Infrastructure updates through website and Twitter	% decrease/increase on 2015/16 baseline
25	Number of responses to Health and Care Research Wales Support and Delivery Service Customer Satisfaction annual survey	% increase/decrease of good or excellent ratings of Health and Care Research Wales Support and Delivery Service Customer Satisfaction annual survey on 2016/17 baseline

\* Cumulative figures will also be used as a quality indicator for some indicators to recognise likely significant fluctuations in percentages for smaller funded entities year on year.

\*\* All of the indicators will be reviewed on an annual basis to ensure the right information is captured to be able to provide an accurate account of the performance of Health and Care Research Wales.

14. A formal external review will be undertaken in September/October 2017 to determine whether to continue to fund all elements of the Health and Care Research Wales infrastructure that came into being on 1 April 2015 for an additional two years from 1 April 2018. This assessment will be based on impact using adapted REF templates, the indicators listed above that are relevant, and other measures of performance to be determined through discussion with the external panel(s).

15. Adapted forms of the framework described above will be used to provide an external assessment of the overall performance of Health and Care Research Wales in September/October 2017, and be extended to include other spheres of activity of Health and Care Research Wales where relevant and appropriate (e.g. NHS R&D offices).

16. Detailed performances measures will be collected on an on-going basis for each Health and Care Research Wales policy area and used for contract management and monitoring purposes.