

Research Office Performance Measurement

and link to University Objectives

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University of Auckland approach

- Central issue is that “Research” happens outside of the Research Office
 - University research objectives thus delivered by the Faculties
 - Academic researchers create the value
- What does the Research Office do
 - Hinder and obstruct?
 - Insist things are done right?
 - Facilitate transactions and manage risk?
 - Guide and encourage?
- How should we measure RO performance?

University of Auckland approach

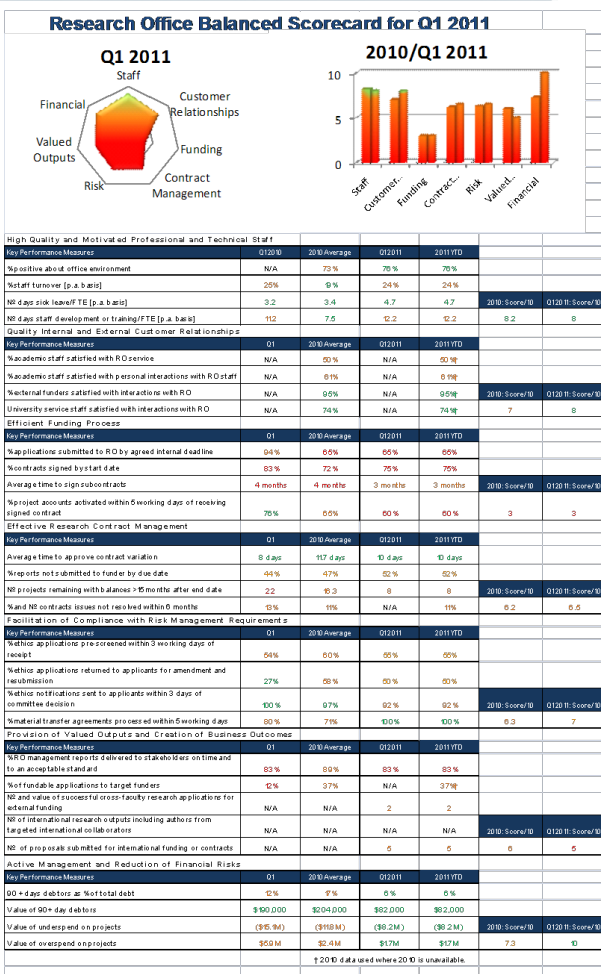
- We have used a balanced scorecard approach
 - People (can't do without them)
 - Customers (have to have them)
 - Processes (efficiency and effectiveness)
 - Value (strategic and financial)
 - Risk (integrity and financial)
- Focused on
 - What we are responsible for , and
 - What we can significantly influence

Seven Headline Key Performance Indicators

- High quality and motivated staff
- Quality internal and external customer relationships
- Efficient funding processes
- Effective research contract management
- Facilitation of compliance with risk management requirements
- Provision of valued outputs and creation of business outcomes
- Active management and reduction of financial risks

KPI management process

- For each headline KPI have developed 4/5 metrics
- Converted to aggregate indices (score out of 10)
- Traffic lights for management assessment
 - Green – no management action required
 - Orange – management action required
 - Red – urgent management action required
- Set improvement targets for next three years
 - All internal assessments/no external benchmarks



Have developed over past two years

- Baseline data for 2010
- Measure quarterly
- Use to develop management response based on aggregate score out of 10
- At individual metric level
 - Red 0.5
 - Orange 1.5
 - Green 2.5
- At aggregate indice level
 - <5 Red
 - 5 - 7.5 Orange
 - >7.5 Green
- (This is not real data!!!!)

High Quality and Motivated Professional and Technical Staff						
Key Performance Measures	Q12010	2010 Average	Q12011	2011YTD		
%positive about office environment	N/A	73%	76%	76%		
%staff turnover [p.a. basis]	25%	19%	24%	24%		
Nº days sick leave/FTE [p.a. basis]	3.2	3.4	4.7	4.7	2010: Score/ 10	Q12011: Score/ 10
Nº days staff development or training/FTE [p.a. basis]	11.2	7.5	12.2	12.2	8.2	8
Quality Internal and External Customer Relationships						
Key Performance Measures	Q1	2010 Average	Q12011	2011YTD		
%academic staff satisfied with RO service	N/A	50%	N/A	50%		
%academic staff satisfied with personal interactions with RO staff	N/A	61%	N/A	61%		
%external funders satisfied with interactions with RO	N/A	95%	N/A	95%	2010: Score/ 10	Q12011: Score/ 10
University service staff satisfied with interactions with RO	N/A	74%	N/A	74%	7	8

Scoring: red - 0.5; orange - 1.5; green - 2.5. Colours map to the calibration of individual metrics in the metrics spreadsheet.

Methodology: the total score for each metric (adding all quarterly scores, where available) divided by the number of quarterly returns for each metric. These averaged scores are added together to give a composite score out of 10.

Efficient Funding Process						
Key Performance Measures	Q1	2010 Average	Q12011	2011YTD		
%applications submitted to RO by agreed internal deadline	94%	65%	65%	65%		
%contracts signed by start date	83%	72%	75%	75%		
Average time to sign subcontracts	4 months	4 months	3 months	3 months	2010: Score/ 10	Q12011: Score/ 10
%project accounts activated within 5 working days of receiving signed contract	76%	65%	60%	60%	3	3
Effective Research Contract Management						
Key Performance Measures	Q1	2010 Average	Q12011	2011YTD		
Average time to approve contract variation	8 days	11.7 days	10 days	10 days		
%reports not submitted to funder by due date	44%	47%	52%	52%		
Nº projects remaining with balances >15 months after end date	22	16.3	8	8	2010: Score/ 10	Q12011: Score/ 10
%and Nº contracts issues not resolved within 6 months	13%	11%	N/A	11%	6.2	6.5

This is still not real data!!!!

Facilitation of Compliance with Risk Management Requirements						
Key Performance Measures	Q1	2010 Average	Q12011	2011YTD		
%ethics applications pre-screened within 3 working days of receipt	54%	60%	55%	55%		
%ethics applications returned to applicants for amendment and resubmission	27%	58%	50%	50%		
%ethics notifications sent to applicants within 3 days of committee decision	100%	97%	92%	92%	2010: Score/ 10	Q12011: Score/ 10
%material transfer agreements processed within 5 working days	80%	71%	100%	100%	6.3	7
Provision of Valued Outputs and Creation of Business Outcomes						
Key Performance Measures	Q1	2010 Average	Q12011	2011YTD		
%RO management reports delivered to stakeholders on time and to an acceptable standard	83%	89%	83%	83%		
%of fundable applications to target funders	12%	37%	N/A	37%		
Nº and value of successful cross-faculty research applications for external funding	N/A	N/A	2	2		
Nº of international research outputs including authors from targeted international collaborators	N/A	N/A	N/A	N/A	2010: Score/ 10	Q12011: Score/ 10
Nº of proposals submitted for international funding or contracts	N/A	N/A	5	5	6	5
Active Management and Reduction of Financial Risks						
Key Performance Measures	Q1	2010 Average	Q12011	2011YTD		
90 + days debtors as %of total debt	12%	17%	6%	6%		
Value of 90+ day debtors	\$190,000	\$204,000	\$82,000	\$82,000		
Value of underspend on projects	(\$15.1M)	(\$11.8M)	(\$8.2M)	(\$8.2M)	2010: Score/ 10	Q12011: Score/ 10
Value of overspend on projects	\$5.9M	\$2.4M	\$1.7M	\$1.7M	7.3	10

Research Office v Research Function

- Research Office KPIs
 - Focus on what Research Office staff can be held accountable for or have significant influence over
- Research happens outside the Research Office
 - Performance of the “Research Function” involves the whole university (or almost)
 - The Research Office can seek to influence and change the function but its aggregate performance is the sum of many parts
- Developing a Research Function performance framework
 - Monitor/measure progress towards objectives
 - Identify areas for improvement/intervention

Summary

- Balanced scorecard methodology can be applied to Research Office performance measurement
 - Critical it is positioned as a management responsibility not a staff performance assessment process
 - Measures need to be from the customers perspective and sensitive to changes in resourcing or effort or design or ...
 - They don't tell you anything if the result is 100% all the time
- The links to University wide research objectives are tortuous
 - Influenced by many levers of change
 - Can develop a benefits mapping approach involving Lead Indicators and Internal Outcomes

Strategy is destiny

- The future will happen
 - We can let it = FATE
 - We can plan for it
 - We can use data to help us = STRATEGY