

**Evaluation of SSHRC's  
Knowledge Mobilization  
Funding Opportunities**

Final Report

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**Evaluation of SSHRC's Knowledge Mobilization:  
Final Report**

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## List of Acronyms

ARWC	Aid to Research Workshops and Conferences
EAC	Evaluation Advisory Committee
KIS	Knowledge Impact in Society
KMb	Knowledge mobilization
KMb & PI	Knowledge Mobilization and Program Integration Division
IOF	International Opportunities Fund
PA	Program Architecture
PG	Partnerships Grants
POG	Public Outreach Grants
SSH	Social Sciences and Humanities
SSHRC	Social Sciences and Humanities Research Council
SKC	Strategic Knowledge Clusters

## EXECUTIVE SUMMARY

### Introduction

The Social Sciences and Humanities Research Council (SSHRC) is the federal agency that promotes and supports postsecondary research and research training in the humanities and social sciences. Through its three umbrella programs of Talent, Insight and Connection, SSHRC develops talented leaders; enables the highest levels of research excellence in Canada; and facilitates knowledge-sharing and collaboration across research disciplines, postsecondary institutions and all sectors of society.

This document reports on a focused evaluation of one of SSHRC's key program streams and cross-cutting priorities: knowledge mobilization (KMb). The evaluation was conducted by the SSHRC/NSERC internal evaluation team in collaboration with an external consultant, Natalie Kishchuk. The work of this internal/external team was supported by the Evaluation Advisory Committee (EAC), composed of SSHRC program management and staff representatives, who provided advice and guidance in the design and execution of the evaluation, including the review of major deliverables. External expert advisors supported the EAC.

Over the past decade, SSHRC has implemented a number of funding vehicles to support the development of KmB, aiming to strengthen its role and importance within the SSHRC organization and across its research community. The 2013-2016 Strategic Plan<sup>1</sup> and renewed Program Architecture (PA) have reaffirmed the importance of KmB to SSHRC's mission. Most of the existing knowledge mobilization funding opportunities have now been gathered under the new Connection program, while the new Insight and Talent programs are moving toward enhanced emphasis on the integration of KmB into research and research training.

In this context, SSHRC conducted this focused evaluation of four former KmB funding opportunities available between 2004/05 and 2011/12. While the programs considered in the evaluation have been or are being phased out, some of their key features have formed the basis for the renewed program offering under the new program architecture. The evaluation timeframe was also chosen because three of the funding opportunities considered had never been evaluated, and a previous evaluation of the fourth dated from 2004. Furthermore, the evaluation helps ensure that SSHRC is meeting the requirements of section 42.1 (1) of the Financial Administration Act and the Treasury Board Secretariat's 2009 *Policy on Evaluation*.

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<sup>1</sup> Social Sciences and Humanities Research Council. Strengthening Canada's Cultures of Innovation. SSHRC's Strategic Plan, 2013-16 retrieved from: [http://www.sshrc-crsh.gc.ca/about-au\\_sujet/publications/strategic\\_plan\\_2013-16-plan\\_strategique\\_2013-2016\\_e.pdf](http://www.sshrc-crsh.gc.ca/about-au_sujet/publications/strategic_plan_2013-16-plan_strategique_2013-2016_e.pdf)

## ***Evaluation Methodology***

The evaluation was carried out on the basis of the Evaluation Framework approved in October 2012.<sup>2</sup> The evaluation assessed the following knowledge mobilization funding opportunities: Public Outreach Grants (POG), Knowledge Impact in Society (KIS), Aid to Research Workshops and Conferences (ARWC) and Strategic Knowledge Clusters (SKC). These were a core subset of the programs funded through this period, covering 66% of KMB funding.

The evaluation was designed to address the core evaluation issues stipulated in the Treasury Board Policy on Evaluation (2009)<sup>3</sup>, which fall within two broad categories: relevance and performance. Table 1 (p. 4), identifies the specific evaluation questions that were developed for each core evaluation issue, based on the Knowledge Mobilization Evaluation Framework.

This evaluation uses multiple lines of evidence and indicators to examine the evaluation questions, with shared responsibility between an external consultant, Natalie Kishchuk Evaluation and Research Inc. and SSHRC's internal evaluators. The methods for the evaluation and lead responsibilities are presented in Table 2. These methods were mapped to the evaluation questions using an evaluation matrix (see Appendix A).

## ***Conclusions***

This evaluation aimed to demonstrate the results and impacts of SSHRC's investments in knowledge mobilization, ensuring that SSHRC is meeting the requirements of section 42.1 (1) of the Financial Administration Act and the Treasury Board Secretariat's 2009 *Policy on Evaluation*. The funding opportunities under evaluation have evolved under the new program architecture, with some similar programs now under the umbrella of the Connection program. To help SSHRC move forward in the context of the new architecture and the 2013-2016 Strategic Plan, the evaluation also aimed to inform SSHRC's thinking and decisions as it enacts further development of knowledge mobilization. The main conclusions from the evaluation are presented below, followed by three recommendations.

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<sup>2</sup> Social Sciences and Humanities Research Council/Natural Sciences and Engineering Research Council Evaluation Division. Knowledge Mobilization Evaluation Framework, October 22, 2012.

<sup>3</sup> Treasury Board of Canada Secretariat (2009). retrieved from: <http://www.tbs-sct.gc.ca/pol/doc-eng.aspx?id=15024&section=text> (accessed October 10, 2012).

## **Overall progress in embedding knowledge mobilization in SSHRC and its community**

Overall, the evidence provided in this evaluation suggests that, for the social sciences, SSHRC has achieved its strategic objectives for knowledge mobilization, as articulated in the 2009-2011 Knowledge Mobilization Strategy (the humanities are discussed below). The social sciences community is now on the upslope of the adoption curve. The evaluation identified that there were early adopters and champions of KMb among the funding opportunity recipients – individuals, teams and institutions – who have been highly successful in facilitating and enabling the accessibility and impact of research, improving research connections and developing networks, tools and best practices. At the same time, variations were observed in levels of engagement and effectiveness of practice in KMb. Going forward, while it is certainly the case that researchers, teams and institutions will continue to vary in how they embrace the challenges of ensuring effective mobilization of knowledge, the contrast between the leaders and the relative laggards in the community remains striking, especially as it pertains to the development of KMb capacity through research training.

The evaluation data suggest that the concomitant and strategic use of multiple roles, levels and strategies leads to the most effective forms of knowledge mobilization, reaping large gains in terms of research impacts, as well as development of HQP capacity for KMb and the circling back of mobilized knowledge into the research process. Thus, the results of this evaluation tend to support investment through a multi-level approach to penetrate, systematize, institutionalize KMb practice. This points to a need for SSHRC to consider, going forward, a multidimensional approach to supporting KMb development that not only works through grants and awards, but also to develop truly institutional capacity within universities. Parallel to this, there remains work to be done corporately, for example through clearer signals to research institutions about the importance of reducing disincentives for KMb, ensuring that merit review committees are thoroughly apprised of SSHRC's intents with respect to KMb and that all levels of the organization, from program officers to Council members, are championing the same discourse.

Enabling such a multidimensional approach may require that SSHRC revisit its strategic objectives for knowledge mobilization, as well as its definitions and operationalizations across its communities, and then ensuring that its funding opportunities are aligned with these. The current strategic objectives are:

- facilitating and enabling the accessibility and impact of research by increasing and enhancing the flow of research knowledge among researchers, and between researchers and knowledge users;
- improving research connections by facilitating reciprocal relationships between researchers and knowledge users for the (co-)creation and use of research knowledge; and



- enhancing the quality of knowledge mobilization by developing networks, tools and best practices.<sup>4</sup>

These objectives emphasize connections, partnerships and networks – which the evaluation findings support as a key enabler of KMb – but state no explicit expectations for research impact. The objectives are thus not fully capturing SSHRC’s strategic priority *“Position knowledge and expertise about human thought and behaviour to bring maximal benefits to Canada and the world.”*

### **Knowledge mobilization in the humanities**

In part because of the relatively small number of projects funded and the lower participation rates of humanities scholars in three of the four KMb funding opportunities studied, this evaluation provided limited evidence of knowledge mobilization outcomes for the humanities disciplines. As stated in this report, although the scholarly literature about knowledge mobilization in the social sciences has burgeoned during the period under study, there appears to have been less investment and advancement in theory and practice of knowledge mobilization within the humanities disciplines. This observation was also echoed in a recent report published by the Arts and Humanities Research Council in the UK to help address this gap in their evidentiary base.<sup>5</sup>

The Aid to Research Conferences and Workshops, now fully integrated within the Connection Grants funding opportunity, was the only funding opportunity where the humanities disciplines were equally well represented with the social sciences. This legacy program, initiated in the 1960s by the Canada Council for the Arts, supported traditional scholarly dissemination mostly within academia. Emphasis was placed on face-to-face interactions among researchers and students, with some evidence of networking, knowledge dissemination and uptake (see section 4 of the evaluation report)<sup>6</sup>. As the huge inaugural uptake of the Connection Grants funding opportunity may testify, traditional scholarly dissemination clearly has a continued, important role to play in SSHRC support. However, the evaluation data suggest that it is not yet clear how Connection grants will fit within SSHRC’s strategic priority to maximize societal impact of research.

These data, or their lack, raise questions about how KMb is being defined and realized in the humanities. The evaluation findings suggest that SSHRC should now critically explore and reflect upon the extent to which its KMb vision has been fully inclusive of the important role these disciplines can play in informing contemporary and future social,

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<sup>4</sup> Social Sciences and Humanities Research Council’s Knowledge Mobilization Strategy, 2009-11, retrieved from: [http://www.sshrc-crsh.gc.ca/about-au\\_sujet/publications](http://www.sshrc-crsh.gc.ca/about-au_sujet/publications)

<sup>5</sup> Arts and Humanities Research Council. Leading the World: The Economic Impact of UK Arts and Humanities Research, 2009, retrieved from: <http://www.ahrc.ac.uk/News-and-Events/News/Pages/Leading-the-world-new-report-reveals-international-pre-eminence-of-UK-arts-and-humanities.aspx>

<sup>6</sup> Student training in knowledge mobilization was not addressed within the ARWC Activity Report .

cultural and political debate. SSHRC could for example, take cues from the AHRC's observations that: *"meeting these challenges requires innovative and creative ways of thinking and processes of knowledge generation, transfer and exchange that are distinctive of the arts and humanities. [...] these processes in the arts and humanities are often significantly different from those in other areas of the research base. Nevertheless, the outcomes, [...] can be seen in increased productivity and innovation, human capital, public knowledge and a skilled labour force, policy interventions and innovation in the public sector, and in improvements to the quality of life."*<sup>7</sup>

### **Promotion and championing of KMb skills and tools as part of successful research training**

The evaluation found that commitment to and engagement in formal development of KMb skills as part of research training was highly variable. Over and above the lack of training built into the ARWC grants requirements, case study findings for the two larger funding opportunities showed some missed opportunities for fulsome engagement in developing a next generation of HQP with knowledge mobilization skills and values. On the other hand, some of the case studies were truly exemplars in the mechanisms, tools and supports they created to develop KMb skills, and perhaps more importantly, in the excitement they generated among students about mobilizing knowledge in their future careers. The data indicated that the extent to which this occurred was a function of the principal investigator's vision of knowledge mobilization. The data also showed that students, given opportunities to participate in KMb and even take the wheel in it, were eager and able to do so. If, as the People Advantage and the new Strategic Plan suggest, developing talent for knowledge mobilization should be part of all SSHRC funding, there is certainly room for discussion about how to open the door to further KMb training opportunities, notably by influencing investigators' commitment to KMb training for their students.

### **Capacity to document knowledge reach and impact**

This evaluation provided an opportunity to examine the evolution of larger, multi-year grants with reporting requirements at different points in time. These data documented the existence of changes over time in partnerships, funds leveraged, student involvement, projects and ambitions, in ways that were important and meaningful to program outcomes. In order to tell the "story" of these grants – a model that SSHRC has now carried on into Partnerships grants, as well as the longer horizon of Insight grants – data must be collected and kept reliably up to date over time, including but not limited to end-of-grant reporting. It is clear that data collected at milestone and mid-term

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<sup>7</sup> Arts and Humanities Research Council. Leading the World: The Economic Impact of UK Arts and Humanities Research, 2009, retrieved from: <http://www.ahrc.ac.uk/News-and-Events/News/Pages/Leading-the-world-new-report-reveals-international-pre-eminence-of-UK-arts-and-humanities.aspx>

phases, if it were accessible and robust, could be useful not only for ensuring adequate progress, but also in telling the performance story of the funding opportunity as a whole. This is currently not the case, and speaks to an urgent need for the Evaluation function to engage in consultations with Corporate Strategy and Performance and Programs divisions to develop a more efficient and broadly useful approach.

The case study component of the evaluation demonstrated that SSHRC is currently not equipped to document many of the most important outcomes of these funding opportunities outside of special – and costly – studies such as this evaluation. As partnerships become more and more central to the ways of doing business in social sciences and humanities research, there is clearly an opportunity to advance outcome measurement to capture research uptake and impact that grant recipients cannot self-report and are not incentivized to document.

Moreover, the monitoring tools currently in place may not have been appropriate for the KIS grants, which raise some concerns regarding monitoring and accountability. Although the KIS grants were institution-based, there appeared to be limited evidence of administrative monitoring and follow-up with the concerned institutions. Based on the number of available final reports, there may have been a lack of clarity with respect to who was responsible for completing and submitting the final report (i.e., the principal investigator or the institution). In addition, the lack of documentation for grant extensions influenced the availability of performance monitoring information.

## **Recommendations**

Based on the findings from the evaluation, three recommendations are presented below. The recommendations are framed to be maximally useful to SSHRC management and staff, as well as stakeholders for future program improvements and planning.

### **Recommendation 1: Further integrate, penetrate and systematize KMB practice by reviewing its strategic objectives for KMB and developing and implementing a renewed Knowledge Mobilization Strategy.**

At this critical point in its history, with a new suite of tools at its disposal to shape the future of SSH research in Canada, SSHRC has an opportunity to consider how it can further support the continued adoption and integration of KMB in its community. As an evolutionary step from the 2009-11 Knowledge Mobilization Strategy and the Knowledge Mobilization Interim Action Plan, the renewed Knowledge Mobilization Strategy should be directly aligned with SSHRC's new Strategic Plan and promote a vision of social sciences and humanities research strongly connected to potential means of maximizing research benefits for society.

- a. In this context, it is recommended that the revised strategic objectives frame more explicit aspirations and expectations for the uptake and impact of SSHRC-

generated knowledge, moving beyond fostering access and creating relationships, for example:

- Facilitate and enable the accessibility and impact of research by increasing and enhancing reciprocal relationships among researchers and knowledge users for the (co-)creation and use of research knowledge; and
  - Strengthen the intellectual, social and economic impact of research to bring maximal benefits to Canada and the world.
- i. These revised strategic objectives (i.e., deliverables) would then form the core of the renewed KMb Strategy. Development of this Strategy should include:
- Review of the scholarly literature on knowledge mobilization as well as relevant findings from the KMb evaluation, with emphasis on empirical evidence about knowledge mobilization values and best practices including those for institutional capacity development and engagement in knowledge mobilization;
  - Thoughtful articulation, aided by literature review and community consultation, of SSHRC's vision of knowledge mobilization in the humanities. The role of support to workshops and conferences can be examined more critically, to ensure that Connections is stoking SSHRC's Knowledge Mobilization efforts while support to scholarly dissemination remains strong; and
  - Further documentation and open discussion of barriers against engagement in KMb should be further documented, including disincentives for academics to engage in KMb given current academic reward systems.
- b. In light of the evaluation findings, the renewed Knowledge Mobilization Strategy should aim for an integrated, cohesive and multi-level approach to fostering effective knowledge mobilization. As Greenhalgh et al.<sup>8</sup> would suggest, there is an opportunity for SSHRC to adopt multiple roles to “let it happen, help it happen, and make it happen”. Concretely, this means that SSHRC can use:
- Encouragement, such as corporate positioning and promotion of KMb, use of signals such as the required content about KMb as part of the common CV;

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<sup>8</sup> Greenhalgh T, et al. (2004). Diffusion of innovations in service organizations: systematic review and recommendations. *The Milbank Quarterly*, 82(4), 581-629.

- Enticement, such as funding opportunities and merit review criteria aiming to support KMb; and
  - Enforcement, such as KMb and KMb training requirements for grant eligibility.
- i. To improve organization-wide cohesion and integration:
- Application requirements, eligibility criteria, evaluation criteria and reporting requirements for grants and awards across and within all SSHRC programs (Connections, Insight and Talent) should be adjusted a) for organization-wide consistency and b) to reflect the KMb strategy and increased emphasis on the importance of knowledge mobilization to non-academic audiences;
  - Funding opportunity design elements should include provision that large multi-year grants should explicitly encourage KMb expertise when hiring staff in order to facilitate engagement in a full range of KMb structures, techniques, tactics and activities;
  - Standardized indicators for KMb, aligned with the renewed Knowledge Mobilization Strategy should be embedded within all SSHRC Performance Measurement Strategies; and
  - To signal its importance, KMb should be part of SSHRC Awards. For example, the merit criterion within the existing Connection Impact award for “level of engagement and quality of training and mentoring provided to students, emerging scholars and other highly qualified personnel and participants” could be expanded to explicitly recognize training and mentoring in knowledge mobilization skills within and beyond the academic community.
- c. The evaluation findings also in some ways serve as a reminder that developing a strategy document is not enough: that attention needs to be paid to planfully supporting its implementation, within the organization and in the larger community. The renewed Strategy should also contain an Implementation Plan that includes a communication strategy for SSHRC’s staff and its research community, and capacity development for the key enablers of the strategy for the organization: program staff and merit review committee members.
- i. To support implementation:
- A tool kit should be developed for applicants and merit review committee members, based on best practices that emerged from the evaluation findings as well as the empirical literature, elucidating SSHRC’s goals and providing concrete guidance;
  - Corporate staff and Council should continue to promote SSHRC’s KMb vision, values and aims, in its interactions with the Canadian and

international social sciences and humanities research communities and stakeholders; and

- SSHRC should showcase exemplars and best practices of knowledge mobilization and knowledge mobilization training, including examples of development of institutional capacity through institutional grants and inter-institutional networks.
- d. Finally, the renewed Knowledge Mobilization Strategy should make provision for SSHRC to invest directly in research on KMb through funding opportunities, and to document advances made. Through these, it should provide a forum for leading edge discussion on questions of intellectual property and open access in a knowledge mobilization lens.

**Recommendation 2: Ensure that training in knowledge mobilization is part of all direct and indirect funding opportunities that contribute to the development of HQP.**

- a. This should be a specific, high priority component of the renewed Knowledge Mobilization Strategy. To access broader ranges of career pathways and fully realize the Talent Advantage for Canada, new generations of HQP will require strong skills in knowledge mobilization with both academic and non-academic audiences. The renewed Knowledge Mobilization Strategy should contribute to the development of graduate students' and postdoctoral researchers' skills in new and creative modes of knowledge mobilization and the expansion of their networks within and beyond the academic community. The Strategy should explicitly apply to direct and indirect research training components of Insight, Partnerships and Connections grants, in addition to all Talent funding opportunities, including Tri-agency programs.
- i. It should involve:
- Presenting clear and harmonized messaging among scholarship, fellowship and grant funding opportunities, that SSHRC-funded or supervised trainees in Insight, Partnerships and Connections grants, as well as Talent awardees, are expected to be acquiring skills for mobilization of knowledge with, and developing networks among, non-academic, research user audiences, as well as academic audiences (where appropriate, based on the type of project). In light of the ongoing tri-agency harmonization project, guidance regarding knowledge mobilization skills and criteria for the CGS Master's scholarships could be standardized across agencies;
  - Ensuring that all merit review processes include criteria for assessing the strength of knowledge mobilization training plans aligned with the renewed KMb Strategy; and

- In all reporting processes (e.g., future Achievement Reports) requiring information on the extent, nature and outcomes of knowledge mobilization capacity development within and beyond the academic community, and specifically on the KMb skills acquired by trainees through SSHRC direct and indirect research and research training funding.

**Recommendation 3: Develop and implement appropriate and effective systems to monitor and assess intellectual, social and economic impact of research and its benefits to Canada and the world.**

- a. SSHRC is currently unable to easily or routinely document outcomes of knowledge mobilization: there is clearly a need to advance outcome measurement. SSHRC should therefore ensure that current and new reporting requirements for grants stipulate that funding recipients document the outputs, results and impacts of their knowledge mobilization activities, as well as challenges experienced. This will help position SSHRC to capture and promote the contribution of social sciences and humanities for the benefit of Canadian and international society. This will require that:
  - i. Monitoring tools be harmonized across programs, including those that are not using the mainstream web-based systems (e.g., Connection); and in particular, ensuring that end-of grant reporting tools and requirements are in place for Connection Grants (first wave of Connections grants ending in 2013-14) and Strategic Knowledge Clusters (full network grants ending in 2013-14 and 2014-15). This could be used as a pilot opportunity for the Achievement Report as applied to Connection and Partnerships; and
  - ii. Performance monitoring tools, procedures, information systems and data entry/data management practices are aligned so as to capture evolution in outputs and outcomes of multi-year grants consistently over time, in a more streamlined and efficient manner. Data collected from grantees and research users/partners at key time-points including applications and milestone, mid-term and achievement reports should also address multiple corporate requirements, including peer review, grant monitoring, performance and evaluation. It was suggested that the future Achievement Report could be used in combination with a 5-10 page narrative component in order to address multiple corporate requirements at the mid-term reporting stage.
- b. In addition, SSHRC should strengthen its capacity to demonstrate knowledge mobilization impacts. This will require that SSHRC develop and implement methods to track and assess longer-term and more distal outcomes of the uptake

and application of social sciences and humanities knowledge that grant recipients cannot self-report and are not incentivized to document. To achieve this, SSHRC will need to: collect information in a longer time frame after the end of grant funding; develop systems that allow tracking of direct and indirect influences of knowledge mobilization through networks outside of funded researchers' direct spheres of influence; and collect information from research user partners and other audiences to document knowledge mobilization use and impact.



## **1. INTRODUCTION: EVALUATION CONTEXT**

The Social Sciences and Humanities Research Council (SSHRC) is the federal agency that promotes and supports postsecondary research and research training in the humanities and social sciences. Through its three umbrella programs of Talent, Insight and Connection, SSHRC develops talented leaders; enables the highest levels of research excellence in Canada; and facilitates knowledge-sharing and collaboration across research disciplines, postsecondary institutions and all sectors of society.

This document reports on a focused evaluation of one of SSHRC's key program streams and cross-cutting priorities: knowledge mobilization (KMb). The evaluation was conducted by the SSHRC/NSERC internal evaluation team in collaboration with an external consultant, Natalie Kishchuk. The work of this internal/external team was supported by the Evaluation Advisory Committee (EAC), composed of SSHRC program management and staff representatives, who provided advice and guidance in the design and execution of the evaluation, including the review of major deliverables. External expert advisors supported the EAC.

Following the overview presented below, Section 2 provides a profile of SSHRC's KmB, including the funding opportunities evaluated. Sections 3, 4 and 5 present the evaluation study's findings organized by broad evaluation question (relevance, performance – achievement of expected outcomes and delivery and efficiency), and Section 6 presents the general conclusions and recommendations resulting from the study.

### **1.1 Evaluation rationale, scope and timing**

Over the past decade, SSHRC has implemented a number of funding vehicles to support the development of KmB, aiming to strengthen its role and importance within the SSHRC organization and across its research community. The 2013-2016 Strategic Plan<sup>9</sup> and renewed Program Architecture (PA) have reaffirmed the importance of KmB to SSHRC's mission. Most of the existing knowledge mobilization funding opportunities have now been gathered under the new Connection program, while the new Insight and Talent programs are moving toward enhanced emphasis on the integration of KmB into research and research training.

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<sup>9</sup> Social Sciences and Humanities Research Council. Strengthening Canada's Cultures of Innovation. SSHRC's Strategic Plan, 2013-16 retrieved from: [http://www.sshrc-crsh.gc.ca/about-au\\_sujet/publications/strategic\\_plan\\_2013-16-plan\\_strategique\\_2013-2016\\_e.pdf](http://www.sshrc-crsh.gc.ca/about-au_sujet/publications/strategic_plan_2013-16-plan_strategique_2013-2016_e.pdf)

In this context, SSHRC conducted this focused evaluation of four former KMb funding opportunities available between 2004/05 and 2011/12. While the programs considered in the evaluation have been or are being phased out, some of their key features have formed the basis for the renewed program offering under the new program architecture. This evaluation was conducted to inform SSHRC's thinking and decisions regarding the review and implementation of the 2012-2014 Knowledge Mobilization Strategy and the transition to the new Connection program structure, as well as to provide SSHRC senior management with valid information on the results of SSHRC's investments in select KMb funding opportunities. Thus, in a forward-looking stance, it aims to be maximally useful to SSHRC management and stakeholders for future program orientation and planning. The evaluation timeframe was also chosen because three of the funding opportunities considered had never been evaluated, and a previous evaluation of the fourth dated from 2004. Furthermore, the evaluation helps ensure that SSHRC is meeting the requirements of section 42.1 (1) of the Financial Administration Act and the Treasury Board Secretariat's 2009 *Policy on Evaluation*.

## 1.2 Evaluation design, methodology and limitations

The evaluation was carried out on the basis of the Evaluation Framework approved in October 2012.<sup>10</sup> The evaluation period covered FY 2004/05 to FY 2011/12 inclusive for the following knowledge mobilization funding opportunities: Public Outreach Grants (POG), Knowledge Impact in Society (KIS), Aid to Research Workshops and Conferences (ARWC) and Strategic Knowledge Clusters (SKC). These were a core subset of the programs funded through this period, covering 66% of KMb funding. The Aid to Scholarly Journals and Aid to Scholarly Publications, also part of SSHRC's KMb funding opportunities, were not included in this evaluation. The four programs were chosen because of: 1) the availability of performance data for them; 2) KIS, SKC and POG had never been evaluated, and the evaluation of ARWC dated back to 2004; 3) their alignment with all three objectives of the Knowledge Mobilization strategy (presented below); 4) similarities with the types of projects that the new Connection program will fund; and 5) opportunities for lessons learned. As well, this sampling covered all three of SSHRC's KMb strategic objectives (see Section 2.1).

The evaluation was designed to address the core evaluation issues stipulated in the Treasury Board Policy on Evaluation (2009)<sup>11</sup>, which fall within two broad categories: relevance and performance. Table 1 (p. 4), identifies the specific evaluation questions that were developed for each core evaluation issue, based on the Knowledge Mobilization Evaluation Framework.

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<sup>10</sup> Social Sciences and Humanities Research Council /Natural Sciences and Engineering Research Council Evaluation Division. Knowledge Mobilization Evaluation Framework October 22, 2012.

<sup>11</sup> Treasury Board of Canada Secretariat (2009). retrieved from: <http://www.tbs-sct.gc.ca/pol/doc-eng.aspx?id=15024&section=text> (accessed October 10, 2012).

**Table 1: Evaluation issues and questions**

Issue	Question
<b>Relevance</b>	
<b>R1. Continued Need for Program</b>	
	R1.1 Is there a continued need for Knowledge Mobilization funding (now falling under the Connection and Insight programs)?
<b>R2. Alignment with Government Priorities</b>	
	R2.1 Does the Knowledge Mobilization strategy continue to be consistent with SSHRC's (e.g., PAA, Strategic Plan) and government-wide priorities?
<b>Performance</b>	
<b>P1. Achievement of Expected Outcomes</b>	
	P1.1. How effectively have SSHRC's funded KMb tools and approaches disseminated research knowledge to academic and non-academic audiences?
	P1.2. How successful were the KMb funding opportunities in promoting and/or developing partnerships, networks, communities of practice and other linkages?
	P1.3. How successfully did the KMb funding opportunities develop capacity in highly qualified personnel and students in the area of knowledge mobilization?
	P1.4. To what extent have the KMb funding opportunities resulted in awareness and intended uptake of research-based knowledge by organizations and/or potential research users in the academic, public, private and not-for-profit sectors?
	P1.5. What unintended outcomes are being achieved?
<b>P2. Demonstration of efficiency</b>	
	P2.1. To what extent is the design and delivery (approach and capacity) of the KMb funding opportunities conducive to achieving expected outcomes (immediate, intermediate and long-term)?
	P2.2. To what extent have the resources allocated to the KMb funding opportunities been utilized in an efficient manner in producing outputs and progressing towards expected outcomes?

This evaluation used multiple lines of evidence and indicators to examine the evaluation questions, with shared responsibility between an external consultant, Natalie Kishchuk Evaluation and Research Inc. and SSHRC's internal evaluators. The methods for the evaluation and lead responsibilities are presented in Table 2. These methods were mapped to the evaluation questions using an evaluation matrix (see Appendix A).

**Table 2: KMb evaluation methods and lead responsibility**

Evaluation method	Lead Responsibility
Document and literature review <ul style="list-style-type: none"> <li>• 151 internal documents</li> <li>• 33 external documents (scholarly literature; policy documents, etc.)</li> </ul>	SSHRC/NSERC Evaluation Division
Internal key informant interviews (n=10)	SSHRC/NSERC Evaluation Division
Review of administrative data 2004-2011 <ul style="list-style-type: none"> <li>• Applications (n=2,931)</li> <li>• Awards (n=1,683)</li> </ul>	SSHRC/NSERC Evaluation Division
Review of performance data <ul style="list-style-type: none"> <li>• 429 final reports</li> <li>• 18 mid-term reports</li> </ul>	SSHRC/NSERC Evaluation Division
Program efficiency analysis	SSHRC/NSERC Evaluation Division
Multiple case studies of KIS and SKC grants only (n=8 cases, 4 with site visits: 53 interviews and document/file review)	Natalie Kishchuk Evaluation and Research Inc.
Overall integrative analysis	Joint

**Evaluation limitations**

Each of the methods used in this study has its strengths and limitations. These are addressed more fully in Appendix B, and summarized briefly below.

In general, the evaluation focused almost exclusively on secondary data sources, with potential bias given limited consultations with stakeholders from the research community and other sectors. As such, key informant interviews and case study findings may not represent the views and experiences of the larger population they represent. In addition, the availability and lack of consistent performance data (particularly for large multi-year grants), the difficulty in obtaining reliable comparative data from similar programs and gaps in corporate records related to each funding opportunity represent the main limitations of this study.

It is important for the reader to be aware that the four selected KMb funding opportunities were part of a larger portfolio that aims to contribute to achieving broad intellectual, cultural, social and economic goals that are global and more longer-term in nature. As such, this study did not seek to establish links of attribution between the funding opportunities and results observed, but rather aimed to assess its contribution to the achievement of these results.

## 2. PROGRAM PROFILE

### 2.1 Context: evolution of knowledge mobilization at SSHRC

Knowledge mobilization is one of the key strategies for realizing Canada's Entrepreneurial Advantage<sup>12</sup>. Moving new knowledge from academia into areas where it can be applied more directly to the benefit of Canadians has been a dominant theme in SSHRC's strategic planning for several years.<sup>13</sup>

SSHRC has supported the exchange of research findings within the scholarly community since its inception in 1977, through its support to scholarly associations, its Aid to Scholarly Journals (formerly Aid to Research and Transfer Journals) and Aid to Scholarly Publications programs. As well, SSHRC's travel grants for scholarly associations and its Aid to Research Workshops and Conferences program (formerly, Aid to Occasional Research Conferences and International Congresses in Canada) have been vital mechanisms for sharing social sciences and humanities research knowledge among scholars, researchers and students, for understanding current research trends in their discipline and to initiate new international and interdisciplinary collaborations.<sup>14</sup>

Moving new knowledge from academia into areas where it can be applied more directly to the benefit of Canadians has been a dominant theme in SSHRC's strategic planning for several years. SSHRC began focusing its attention on the mobilization of knowledge to maximize the potential contribution of the research it funds to public good in the mid-1990s. While this current infrastructure for sharing SSH research knowledge met primarily researchers' needs, it did not connect non-academic stakeholders with SSH research expertise relevant to their needs.

SSHRC understood this challenge in the broadest sense: that it is not merely about "transferring" knowledge after it has been produced, but also about allowing opportunities for practitioners and other research users to participate and influence the knowledge-production process from the beginning.

The launch of the Initiative on the New Economy (INE) in 2001 (\$100 million over 5 years) allowed SSHRC to explore new ways of transferring knowledge, with the

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<sup>12</sup> Industry Canada (2007). Science and Technology Strategy: Mobilizing Science and Technology to Canada's Advantage, retrieved from: <http://www.ic.gc.ca/eic/site/icgc.nsf/eng/00871.html>

<sup>13</sup> Select paragraphs, with some revisions, were excerpted from: Social Sciences and Humanities Research Council/Natural Sciences and Engineering Research Council Evaluation Division. Knowledge Mobilization Evaluation Framework October 22, 2012.

<sup>14</sup> Social Sciences and Humanities Research Council of Canada. Report on the Consultations, vol. 3, January 2005.

development of new tools and practices for knowledge mobilization (KMb), as well as innovative delivery models (e.g., Public Outreach Grants). Knowledge mobilization was a priority of the INE – its importance was reflected with a formal strategy for knowledge mobilization and specific policies related to project funding for dissemination of research results. For example, KMb was integrated within funded research projects for the dissemination and integration/use of results to non-academic audiences.<sup>15</sup>

In 2004, SSHRC undertook national consultations<sup>16</sup> with the aim of renewing the social sciences and humanities research enterprise in Canada. The consultations have generated deep and broad support for an expanded role for SSHRC, also concerned with the influence and impact of research-based knowledge. In summer 2004, SSHRC launched the new funding opportunity “Strategic Knowledge Clusters”, aimed at bringing together researchers and research users with shared interests and expertise in selected areas – to enrich and advance existing research and maximize its impact both within and outside academe. Other initiatives were drawn from a range of complementary studies, including the creation of incentives for universities to play a more active role in promoting SSH by establishing “KMb offices.”

In its *Strategic Plan 2006-2011*,<sup>17</sup> SSHRC proposed broad new directions, moving from a traditional funding agency focused on funding peer-reviewed research, to a “knowledge council”, that emphasizes building connections to maximize the impact and quality of humanities and social sciences research. SSHRC recognized that more needed to be done to harness the full potential of SSH research and maximize its benefits for society. As such, SSHRC sought to support knowledge mobilization to ensure that knowledge in the social sciences and humanities has impact and influence within and outside academia, for the benefit of Canadians.

To assist further in the strategic thinking about the KMb function, SSHRC initiated the development of a Strategic Framework<sup>18</sup> in 2007 as a tool to consolidate and plan ahead in order to respond to the Council’s knowledge mobilization priorities and community expectations. The framework (or logic model) presented in Appendix D identifies the linkages between the activities and its ultimate outcomes. As such, this framework serves as a “roadmap”, connecting activities to the ultimate outcomes, thus identifying

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<sup>15</sup> Social Sciences and Humanities Research Council (2009). Evaluation of the Initiative on the New Economy, Report on Results, Corporate Performance and Evaluation Division.

<sup>16</sup> Social Sciences and Humanities Research Council of Canada., Report on the Consultations, vol. 3, January 2005.

<sup>17</sup> Social Sciences and Humanities Research Council of Canada (2005). Knowledge Council: SSHRC, 2006 – 2011, Ottawa, Ontario, retrieved from: <http://publications.gc.ca/collections/Collection/CR22-42-2006E.pdf>

<sup>18</sup> Social Sciences and Humanities Research Council. Strategic Framework for the Knowledge Mobilization Function, 2007.

the steps that will demonstrate progress towards SSHRC's achievements. Key results for SSHRC's KMb function were developed, taking into consideration the corporate commitments, as well as the work already underway.

In 2008, a discussion paper entitled *Thinking about Knowledge Mobilization*,<sup>19</sup> commissioned by the Canadian Council on Learning and the Social Sciences and Humanities Research Council, provided context for the growing interest in the KMb. It also outlined current thinking on knowledge mobilization; identified key areas where current knowledge was inadequate, and identified promising areas for further work, both in research and KMb activities.<sup>20</sup>

In June 2009, SSHRC Management formally endorsed a Knowledge Mobilization Strategy to guide activities over the years 2009-2011. The KMb strategy document along with an action plan was presented at the SSHRC Governing Council in November 2009. The strategy document was based on earlier discussions, the KMb strategic frameworks, and the commitment to experimentation in approaches in programming that began as early as 1998 (see Appendix D). The overall strategic objectives for knowledge mobilization, as articulated in SSHRC's Knowledge Mobilization Strategy, 2009-11, are:

- facilitating and enabling the accessibility and impact of research by increasing and enhancing the flow of research knowledge among researchers, and between researchers and knowledge users;
- improving research connections by facilitating reciprocal relationships between researchers and knowledge users for the (co-)creation and use of research knowledge; and
- enhancing the quality of knowledge mobilization by developing networks, tools and best practices.<sup>21</sup>

Systemizing a KMb approach which had been mostly ad hoc in the past, the Strategy called for deliverables to help move the results of research into society, to bring new ideas into the world of research, and to create connections for an intensified economic, social, cultural and intellectual impact of SSHRC-funded research and training.

After the end of the 2009-2011 period covered by the Knowledge Mobilization Strategy, a Knowledge Mobilization Interim Action Plan, in place until 2013, guided the activities based on the strategic objectives put forth in the 2009-11 Strategy.

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<sup>19</sup> Levin, B. (2008). *Thinking about Knowledge Mobilization*, Canadian Council on Learning and the Social Sciences and Humanities Research Council of Canada.

<sup>20</sup> Idem, p.12.

<sup>21</sup> Social Sciences and Humanities Research Council. *Knowledge Mobilization Strategy, 2009-11*, retrieved from: [http://www.sshrc-crsh.gc.ca/about-au\\_sujet/publications](http://www.sshrc-crsh.gc.ca/about-au_sujet/publications)

In SSHRC's Strategic Plan 2013-16, SSHRC continues to support the federal S&T strategy through the implementation of its renewed program architecture, with three new umbrella programs—Talent, Insight and Connection—thereby creating a simpler structure for funding social sciences and humanities research excellence on issues of importance to Canadians. Moving forward with its implementation beginning in Fall 2012, the Connection program provides funding opportunities in support of researchers and institutions undertaking knowledge mobilization activities across Canada and internationally, working as individuals, in teams, or through formal partnerships. As such, the majority<sup>22</sup> of KMb funding opportunities were bundled under the Connection Program.

In the overall context of Canada's Science and Technology Strategy and the quest for the Entrepreneurial Advantage, SSHRC's 2013-16 Strategic Plan and 2009-11 Knowledge Mobilization Strategy are providing strategic frameworks situating knowledge mobilization within a vision of social sciences and humanities research highly connected to potential means of maximizing research benefits for society.

## 2.2 Definitions of knowledge mobilization

SSHRC's adoption of the term "knowledge mobilization" (KMb) in 2000-01<sup>23</sup> was deliberate in order to signal its efforts in facilitating the exchange and interaction among researchers and research users, and strengthening the relationship between research and practice to maximize knowledge impact<sup>24</sup>. Many other terms are used in the literature, such as dissemination, knowledge exchange, knowledge transfer, but these suggest a one-directional and linear conceptualization that research is simply "pushed" or "transferred" to research users; current thinking among scholars and within SSHRC considered this view to be inadequate to explain what happens in reality.<sup>25</sup>

As such, the 2008 discussion paper *Thinking about Knowledge Mobilization*<sup>26</sup> used the term "knowledge mobilization" to refer to the relationship between research and practice. A number of conceptual challenges regarding KMb were raised in the

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<sup>22</sup> Strategic Knowledge Clusters was moved under the Insight Program.

<sup>23</sup> Social Sciences and Humanities and Research Council. Report on Results, Evaluation of the Initiative on the New Economy. 2009.

<sup>24</sup> As a pre-cursor to SSHRC's transformation, "knowledge mobilization" was defined under the INE as: a) creating new mechanisms and venues for researchers and users of research to interact; b) promoting linkages (especially web-enabled) among funded research teams; c) fostering communities of practice; and d) ensuring communication of research outcomes to the public.

<sup>25</sup> Nutley, S. et al., 2007; Greenhalgh & Wieringa, 2010, cited in Levin, B. (2013). To know is not enough: research knowledge and its use. *Review of Education*, 1(1), 2-31.,

<sup>26</sup> Levin, B. (2008). *Thinking about Knowledge Mobilization*, Canadian Council on Learning and the Social Sciences and Humanities Research Council of Canada, p.12.



document. This included terminology, i.e., a multiplicity of terms, concepts and definitions, including the following definition of knowledge mobilization, “Knowledge Mobilization is...getting the right information to the right people in the right format at the right time, so as to influence decision-making. Knowledge Mobilization includes dissemination, knowledge transfer and knowledge translation.”

Over the period between 2008 and now, SSHRC has employed various definitions of knowledge mobilization, centred around a few key concepts:

“The concept of knowledge mobilization moves beyond the familiar processes of dissemination, knowledge transfer, and research collaboration. The KMb concept is meant to encompass all stages of the creation, exchange and use of research knowledge; the initial identification of subject matter and the formation of research questions; the conduct of investigations; the analysis of findings; and the application of conclusions in understanding and decision-making. It can be achieved in many ways but it is most effective when it entails an interactive process between the knowledge generators and knowledge users that meets both their needs<sup>27</sup>.”

In the 2009-2011 Knowledge Mobilization Strategy, knowledge mobilization was described as follows:

“... the essence is related to the flow of knowledge among multiple agents leading to intellectual, social and/or economic impact. This can be amongst scholars in various disciplines, including students, and between the campus and larger community. The relationship between knowledge mobilization, and outcomes and impacts is far from a simple question of “cause and effect” and, rather, more recursive<sup>28</sup>.”

Since the development of the Knowledge Mobilization Strategy, the KMb definition has evolved in the context of the launch of the SSHRC Connection program in 2012, as follows:

“Knowledge mobilization in the social sciences and humanities facilitates the multidirectional flow of research knowledge across academia and society as a whole, in order to inform Canadian and international research, debate, decisions and actions. Those who stand to benefit from publicly funded research results in the humanities and social sciences—diverse groups of researchers, policy-makers,

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<sup>27</sup> Social Sciences and Humanities Research Council. Strategic Framework for SSHRC’s Knowledge Mobilization Function, 2007.

<sup>28</sup> Social Sciences and Humanities Research Council. Knowledge Mobilization Strategy, 2009-11, retrieved from: [http://www.sshrc-crsh.gc.ca/about-au\\_sujet/publications](http://www.sshrc-crsh.gc.ca/about-au_sujet/publications)

business leaders, community groups, educators and the media—should, ideally, have the knowledge they need, when they need it, in useful forms.”<sup>29</sup>

## **2.3 Program governance**

In 2008, SSHRC consolidated its strategic orientations and funding opportunities in a new Knowledge Mobilization and Program Integration Division (KMb & PI), charged with overseeing and operationalizing the Knowledge Mobilization Strategy. In an effort to optimize the implementation of the new 2012-13 PAA and to improve internal management and communications, the KmB & PI Division became the Knowledge Integration Portfolio in early 2012. The Knowledge Integration Portfolio has retained the oversight of the KmB strategy and its council-wide implementation, but has transferred program delivery for KmB funding opportunities to the Research Portfolio and to the Partnerships Portfolio. The Partnerships Portfolio is now responsible for new competitions under the new Connection program, as well as monitoring of grants, including those funded under the Strategic Knowledge Clusters, Aid to Research Workshops and Conferences in Canada (ARWCC), and Public Outreach Grants funding opportunities. The Research Portfolio is now responsible for the delivery of the Aid to Scholarly Publications Program and the Aid to Scholarly Journals.

## **2.4 KmB Funding opportunities under study**

### **2.4.1 Overview**

The funding opportunities under study (i.e., Strategic Knowledge Clusters; Knowledge Impact in Society; Public Outreach Grants and Aid to Research Workshops and Conferences), although grouped under the KmB banner, have diverse origins and in some ways illustrate SSHRC’s evolving experimentation with KmB. The ARWC existed prior to SSHRC’s beginnings, initiated by the Canada Council for the Arts in the 1960s, and transferred to SSHRC in 1977. The POG program was introduced following a successful early experiment in the Initiative on the New Economy, a strategic funding program that ran from 2001 through 2008 and included a focus on knowledge mobilization as well as partnerships. The Strategic Knowledge Clusters and the Knowledge Impact in Society were introduced as pilots as part of SSHRC’s transformation, to signal SSHRC’s commitment in building capacity for the knowledge

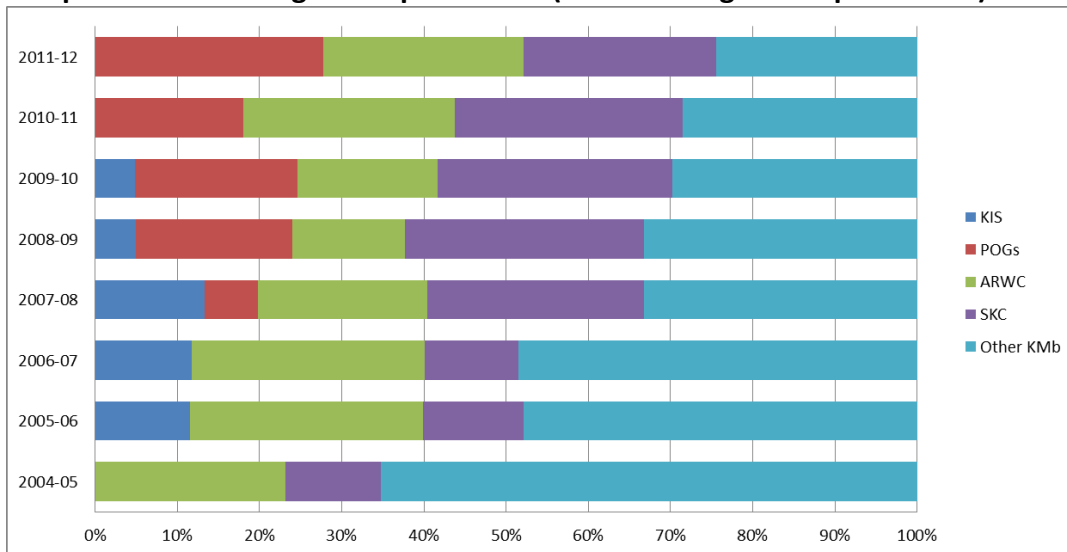
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<sup>29</sup> Social Sciences and Humanities Research Council. Connection Program Description, retrieved from: [http://www.sshrc-crsh.gc.ca/funding-financement/umbrella\\_programs-programme\\_cadre/connection-connexion-eng.aspx](http://www.sshrc-crsh.gc.ca/funding-financement/umbrella_programs-programme_cadre/connection-connexion-eng.aspx)

mobilization of social sciences and humanities research in Canada. The funding opportunities under study are described in detail in this section, after a brief presentation of their overall resources.

As mentioned above, these four funding opportunities represented 65% (77.9\$M) of the overall 119.2\$M in KMb expenditures<sup>30</sup> under Strategic Outcome 3.0 *Knowledge Mobilization* in SSHRC's PAA for the period 2004-05 to 2011-12 (see Figure 1). As would be expected given their staggered introduction over this period, their expenditures have varied annually from over \$2 million in 2004-05 to above \$17 million in 2011-12 (illustrated in Appendix F, Figure 1). Expenditures on these four funding opportunities represented 3.3% of SSHRC's total program expenditures during this period.

**Figure 1: Proportion (%) of KMb grant expenditures for the four funding opportunities compared to all KMb grant expenditures (not including NCE expenditures)**



Source: The year in numbers and Departmental Performance Report, CSP Division

<sup>30</sup> KMb expenditures include all funding opportunities found in the PAA 2011-12, under Programs, 3.1 Research Dissemination and Knowledge Translation and 3.2 Research Networking, with the exception of NCE expenditures.

## 2.4.2 Aid to Research Workshops and Conferences in Canada

### Background<sup>31</sup>

The Aid to Occasional Scholarly Conferences in Canada program was initiated by the Canada Council for the Arts in the 1960's to award small grants of approximately \$3,000 on a non-competitive basis. In 1977, SSHRC took the Program over without modifications. In the early 1980's, a committee system of adjudication was adopted with three competitions per year, and the average grant size was increased to \$5,000. The Aid to Occasional Research Conferences and the International Congresses in Canada programs were merged in 1994, with revised program objectives placing greater emphasis on the training of graduate students, conference impacts, and the importance of international linkages within the events. The maximum values of awards were \$50,000 for congresses, and up to \$10,000 for conferences or workshops.

As a result of recommendations stemming from the program evaluation conducted in 2004, support for international congresses was phased out in 2005 and distinct eligibility, selection criteria and reporting forms were introduced for the conferences and workshops grants under the Aid to Research Workshops and Conferences (ARWC) funding opportunity. As well, the maximum award value was increased to between \$25,000 and \$50,000 for conferences and up to \$25,000 for workshops grants. The ARWC funding opportunity was phased out in 2011, and direct support for conferences and workshops was integrated within the new Connection grants funding opportunity in 2012, as part of SSHRC's implementation of its renewed program architecture.

### *Program objectives*

The broad purpose of the Aid to Research Workshops and Conferences (ARWC) from 2004 to 2011 was to support international congresses<sup>32</sup>, workshops, and conferences held in and outside of Canada (24.8% of total KMB expenditures for the period 2004-05 to 2011-12).

The funding opportunity's specific objectives were to:

- advance research and scholarship on issues of intellectual, cultural and social importance by facilitating direct interaction among researchers and students, both from Canada and abroad;

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<sup>31</sup> This section was partially excerpted from Social Sciences and Humanities Research Council of Canada. Evaluation of SSHRC's Aid to Occasional Research Conferences & International Congress in Canada Program, retrieved from: [www.sshrc-crsh.gc.ca/about-au\\_sujet/publications/conf\\_app\\_e.pdf](http://www.sshrc-crsh.gc.ca/about-au_sujet/publications/conf_app_e.pdf)

<sup>32</sup> Support for international congresses was phased out in 2005.

- promote research development, linkages and knowledge mobilization among disciplines and across institutions, sectors, linguistic groups and regions; and
- enhance the visibility and profile of social sciences and humanities research.

### ***Applications and awards***

As illustrated in Table 3 below, 1,327 grants were awarded out of a total of 2,087 applications submitted for research workshops and conferences, between 2004 and 2011.

**Table 3: Aid to Research Workshops and Conferences in Canada – applications and awards by grant type, 2004 to 2011**

Grant Type	2004		2005		2006		2007		2008		2009		2010		2011		Grand Total	
	App	Awa	App	Awa	App	Awa	App	Awa	App	Awa	App	Awa	App	Awa	App	Awa	App	Awa
International Congress <sup>1</sup>	10	6	0	0	0	0	0	0	0	0	0	0	0	0	0	0	10	6
Research Conference	167	94	143	73	138	79	149	89	145	79	148	78	130	105	148	115	1168	712
Workshop	60	32	108	58	105	57	123	68	121	55	137	81	172	117	185	141	1011	609
<b>Grand Total</b>	<b>237</b>	<b>132</b>	<b>251</b>	<b>131</b>	<b>243</b>	<b>136</b>	<b>272</b>	<b>157</b>	<b>266</b>	<b>134</b>	<b>285</b>	<b>159</b>	<b>302</b>	<b>222</b>	<b>333</b>	<b>256</b>	<b>2189</b>	<b>1327</b>

Source: The year in numbers, CSP Division and AMIS database, as of January 2013

<sup>1</sup> The International Congress grant type was phased out in 2005 as a result of a recommendation from the 2004 ARWC Evaluation.

### **2.4.3 Public Outreach Grants**

#### ***Background***

Public Outreach Grants were initially designed and launched under the Initiative on the New Economy (INE), given the INE's key priority to support effective public outreach and knowledge dissemination. Following the first competition held in 2001, the program was subsequently re-tooled as the Public Outreach Grants, with three competitions held from 2004 to 2006. The new "Public Outreach Grants" funding opportunity was aimed at mobilizing knowledge already funded through other INE funding opportunities to a range of audiences beyond academia. Researchers were encouraged to find creative and innovative ways to disseminate, transfer and mobilize results to new audiences, as well as to create new communication activities for previously targeted audiences.

In 2007, the Public Outreach Grants funding stream was offered as part of SSHRC's special call for Management, Business and Finance (MBF). Over the course of the years 2008 to 2011, funding was made available under Public Outreach Grants for dissemination activities or workshops/conferences in an open category (i.e. any eligible SSHRC discipline) or in any of the following SSHRC priority areas:

- Open (2009-2011);
- Canadian Environmental Issues (2008-2011);
- Northern Communities: Towards Social and Economic Prosperity (2008-2011);
- Innovation, Leadership and Prosperity (formerly MBF - 2007-2011);
- Aboriginal Research (2011); and
- Digital Economy (2011).

### ***Program Objectives***

Public Outreach Grants were designed to mobilize and/or leverage existing and ongoing research in the social sciences and humanities for a range of audiences beyond academia. Through this funding opportunity, SSHRC encouraged researchers to find effective ways to disseminate, transfer, exchange, synthesize and broker research results to wider audiences.

### ***Applications and awards***

As illustrated in Table 4 below, 241 grants were awarded out of a total of 355 applications submitted for the five priority areas and the open category (i.e., any eligible SSHRC discipline) falling under the Public Outreach Grants, during the period 2007-2011. For both workshops and dissemination grants, the value was offered at three funding levels: under \$50,000; from \$50,000 to \$100,000 and over \$100,000 (i.e., no maximum limit for this last category) for a period of 12 months. Applications were either submitted for dissemination activities or workshops and conferences events respectively, directed primarily to non-academic audiences. Under the workshops and conferences grant type, funding was available for various types of events, such as workshops; conferences; innovation forums and summer institutes. Overall, the most popular grant type was dissemination grants, with a total of 262 (74%) applications and 181 grants (78%).

**Table 4: Public Outreach Grants - applications and awards by priority area, 2007-08 to 2011-12**

Funding Opportunity	2007		2008		2009		2010		2011		Total	
	App	Awa	App	Awa	App	Awa	App	Awa	App	Awa	App	Awa
Innovation, Leadership & Prosperity (604)	19	12	31	16	9	7	9	4	24	15	92	54
Environmental Issues (605)			27	18	26	16	16	16	16	11	85	61
Northern Communities (606)			15	13	7	5	3	2	7	7	32	27
Open (608)					24	16	34	21	62	40	120	77
Digital Economy (609)									12	9	12	9
Aboriginal Research (610)									14	13	14	13
<b>TOTAL</b>	<b>19</b>	<b>12</b>	<b>73</b>	<b>47</b>	<b>66</b>	<b>44</b>	<b>62</b>	<b>43</b>	<b>135</b>	<b>95</b>	<b>355</b>	<b>241</b>

Source: The year in numbers, CSP Division and AMIS database, as of January 2013.

#### 2.4.4 Strategic Knowledge Clusters

##### *Background and program objectives*

The national consultation on future directions for SSHRC carried out in 2003-04<sup>33</sup> highlighted the need for support mechanisms to facilitate more effective connections – both among researchers, and between researchers and users of research, within Canada and abroad. Two Strategic Knowledge Cluster pilot program competitions were launched in 2004 and 2005, followed by full-scale clusters which were funded in 2006 and 2007.

Strategic Knowledge Cluster grants did not provide direct support for research projects: their activities focused on networking, mobilizing knowledge, and facilitating the impact of research knowledge. The overall objective of the Strategic Knowledge Clusters funding opportunity was to build upon and add value to research supported through SSHRC's other programs by supporting Canadian researchers in their efforts

<sup>33</sup> Social Sciences and Humanities Research Council of Canada. Report on the Consultations, vol. 3, January 2005.

to develop and sustain creative, innovative knowledge networks (23.4% of overall KMB expenditures for the period 2004-05 to 2011-12).

Through such support, the program sought to foster and enhance:

- synthesis and application of humanities and social sciences research knowledge in areas in which Canadian researchers demonstrate strength and which are of importance for Canadian society;
- collaborative knowledge partnerships able to leverage external funding that will support new research in the humanities and social sciences; and
- the international role and impact of Canadian social sciences and humanities research.

### ***Applications and awards***

Table 5 shows that 77 developmental and completion grants were awarded out of a total of 200 applications for the initial Strategic Knowledge Clusters competitions held in 2004 and 2005. Grants awarded for 18 full-scale network grants in 2006 and 2007 are currently underway, with mid-term reviews completed in 2011, and expected project completion dates in 2014 and 2015 respectively. Strategic Knowledge Clusters network grants were worth up to \$300,000 annually for up to seven years (i.e., max. of \$2.1 million over seven years).

**Table 5: Strategic Knowledge Clusters - number of applications and awards by grant type**

Grant Type	2004		2005		2006		2007		Total	
	Appl.	Awa.	Appl.	Awa.	Appl.	Awa.	Appl.	Awa.	Appl.	Awa.
Developmental Grant	137	31	32	23	0	0	0	0	169	54
Completion Grant	0	0	31	23	0	0	0	0	31	23
Strategic Research Network	0	0	0	0	57	7	31	11	88	18
<b>Total</b>	<b>137</b>	<b>31</b>	<b>63</b>	<b>46</b>	<b>57</b>	<b>7</b>	<b>31</b>	<b>11</b>	<b>288</b>	<b>95</b>

Source: The year in numbers, CPS Division and AMIS database

## **2.4.5 Knowledge Impact in Society**

### **Background and program objectives**

As part of SSHRC's transformation from a granting agency that principally funded excellent research to a knowledge council equally concerned with ensuring the impact of research in society, the pilot program, Knowledge Impact in Society (KIS)



was launched in 2005. In 2007, a special one-time call was launched for proposals in the areas of management, business and finance, broadly defined.

The KIS pilot program funded university-based strategic knowledge mobilization initiatives, made up of academic researchers and community-based partners, that would develop and put into practice new and existing ways to systematically move social sciences and humanities research knowledge from the academy into the broader society. The broad objective of the Knowledge Impact in Society pilot program was to explore the potential of an institutional funding model to support effective knowledge exchange and mobilization — targeted to the areas of management, business and finance for the special call in 2007.

For the purposes of the KIS program, knowledge mobilization was defined as “moving knowledge into active service for the broadest possible common good.” Here knowledge is understood to mean any or all of (1) findings from specific social sciences and humanities research, (2) the accumulated knowledge and experience of social sciences and humanities researchers, and (3) the accumulated knowledge and experience of stakeholders concerned with social, cultural, economic and related issues.

In order to promote regular sharing of knowledge and experience among all funded initiatives across the country, SSHRC worked closely with all funded KIS projects and organized knowledge exchange events, and annual meetings in Ottawa<sup>34</sup>.

More specifically, the objectives of the KIS program were to:

- develop or expand strategies to systematically move social sciences and humanities knowledge from areas in which a postsecondary institution has recognized research strength into active service beyond academic circles;
- build or expand relationships and facilitate knowledge exchange between specific non-academic stakeholders and researchers whose expertise is relevant to those stakeholders’ interests and concerns; and
- create or expand opportunities for students in the social sciences and humanities to develop knowledge mobilization skills through hands-on experience.

## **Applications and awards**

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<sup>34</sup> SSHRC organized a KMB workshop on October 22-23, 2009 to share and discuss the findings, lessons learned and impacts of KIS and SKC funded projects. Workshop proceedings were produced, with specific recommendations directed to SSHRC (Social Sciences and Humanities Research Council, Workshop Proceedings, Knowledge Impact in Society and Strategic Knowledge Clusters, December 2009. PBN: 864984836PG 001).

Two rounds of competitions were held (i.e., 2005 and 2007), with a total of 20 institution-based grants awarded out of a total of 100 applications under the Knowledge Impact in Society (4.9% of overall KMB expenditures for the period 2005-06 to 2007-08). SSHRC would award grants, up to a maximum of \$100,000 annually, equal to the amount of funding contributed by the sponsoring university or universities.

**Table 6: Knowledge Impact in Society - applications and awards by grant type**

Grant Type	2005		2007		Total	
	Appl.	Awa.	Appl.	Awa.	Appl.	Awa.
Institution-Based	86	11	0	0	86	11
Institution – Management, Business and Finance	0	0	14	9	14	9
<b>Total</b>	<b>86</b>	<b>11</b>	<b>14</b>	<b>9</b>	<b>100</b>	<b>20</b>

Source: The year in numbers, CPS Division and AMIS database

### **3. FINDINGS: Relevance and Continued Need**

#### **3.1 Is there a continued need for Knowledge Mobilization funding (now falling under the Connection and Insight programs)?**

This question was addressed through four lines of evidence: administrative data on KMB program activity, internal key informants' views on continued need, case study respondents' views on the importance of SSHRC funding, and document review/administrative data review of knowledge mobilization as a research field in the scholarly literature and in SSHRC funding.

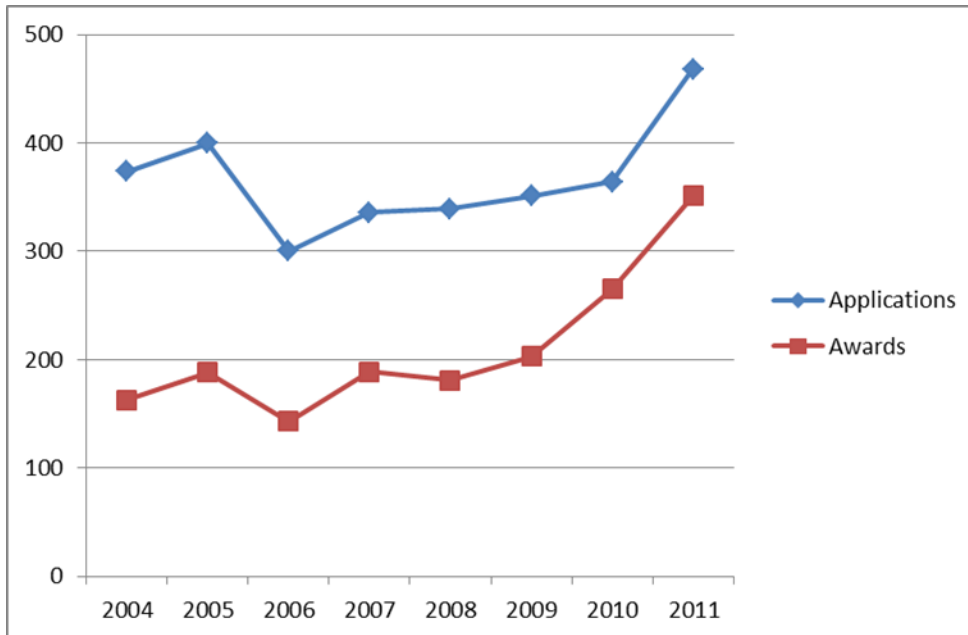
##### **KMB program activity and profile**

When considering the combined competition results for the KMB funding opportunities under study, between 2004-05 and 2011-12 the number of applications<sup>35</sup> and awards follow a general upward trend (Figure 2). A total of 2,932 applications were submitted under the four KMB funding opportunities included in this study, from which 1,683 (57%) were awarded grants between 2004 and 2011. Overall, the number of applications increased by 25% between 2004 and 2011 (with a 38% increase between 2008 and 2011). However, the demand is largely defined by growth in demand for ARWC, the only funding opportunity offered for the years 2004 to 2011 inclusively. It should be noted that during this period, 2,189 out of 2,932 applications (75%) were submitted under the ARWC funding opportunity, and 1,327 grants awarded (79% of total grants). The increasingly higher success rates of ARWC and POG (which attained 77% and 70% respectively in 2011) also indicate a growth in offer from SSHRC.

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<sup>35</sup> "Application" refers to all eligible applications, based on data provided by the Corporate Strategy and Performance Division and AMIS database.

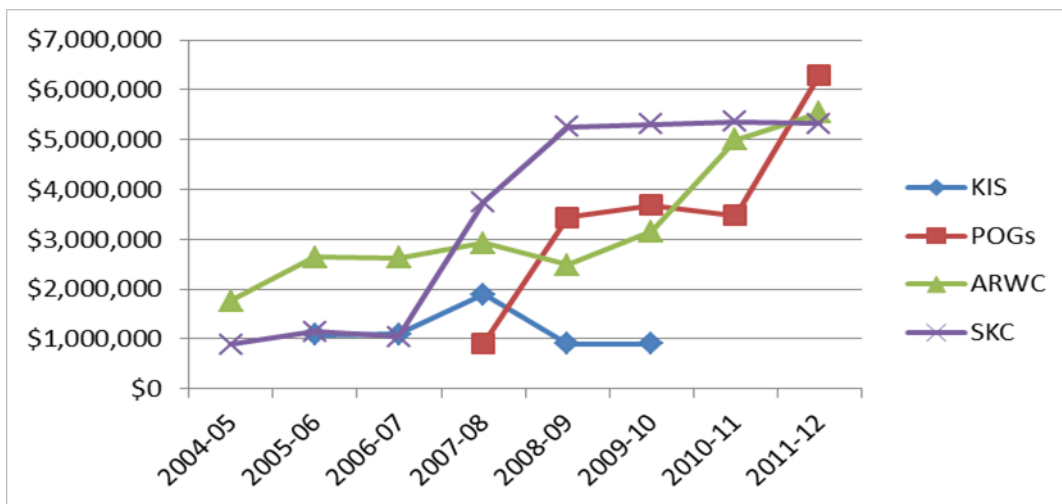
**Figure 2: Number of applications and awards for KMb funding opportunities under study, 2004-05 to 2011-12**



Source: The year in numbers, CSP Division and AMIS database

Mirroring growth in applications and awards, KMb grant expenditure data showed increasing expenditure over time, from a total of \$2.7M in 2004/05 to \$17.2M in 2011/12, a six-fold increase, as illustrated in Figure 3.

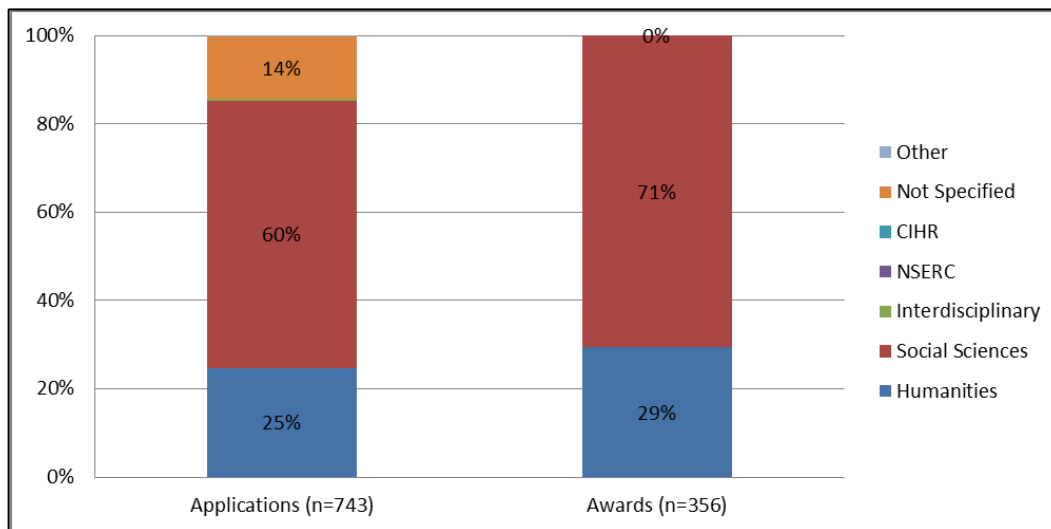
**Figure 3: KMb Grant Expenditures for Funding Opportunities under study, 2004-05 to 2011-12**



Within ARWC, demand increased more strongly for workshops than scholarly conferences: the number of applications more than tripled for Workshops (see Table 3 for details - percentage increase of 208% between 2004 and 2011, compared to 53% for all applications)

Overall, the KIS, POG and SKC funding opportunities generally attracted more applications (60%) and yielded more awards (71%) under the social sciences disciplines when compared to the humanities, as presented in Figure 4.

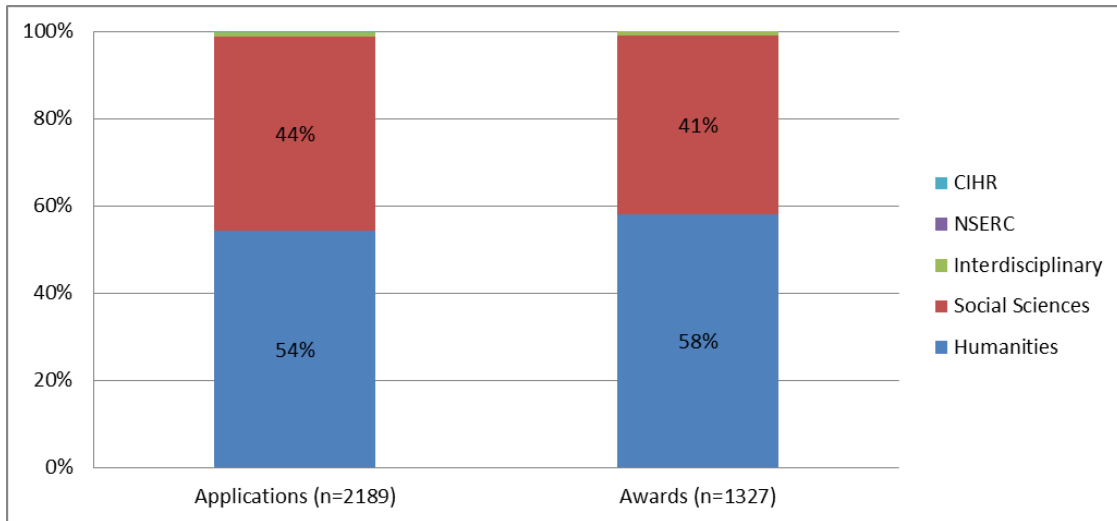
**Figure 4: Proportion (%) of applications and awards by main discipline for KIS, SKC and POG**



Source: Amis database

However, 58% of ARWC awards were in the humanities (Figure 5), far more than the 31% for SKC and the 10% (two awards) for KIS. Thus, the KIS, SKC and POG tended to be populated by social science research while the ARWC opportunity had a balance of social sciences and humanities.

**Figure 5: Proportion (%) of applications and awards by main discipline for ARWC, for years 2004 to 2011**



Source: Amis database

With respect to region, the provinces that are consistently present in applications from all funding opportunities studied were: Alberta, British Columbia, Ontario and Quebec. This is of particular interest in KMb because many of the issues addressed, and hence many of the policies, practices and programs that could benefit Canadians because of KMb, are under provincial jurisdiction.

### Internal key informants' views on continued need

Related to the question of continued relevance of the program objectives in the past, current and future contexts, key informants identified a number of changes supportive of continued relevance that had occurred in the context of KMb over the past 10 years. First, SSHRC began allocating funds that were earmarked for KMb activities, signalling its transformation towards a “knowledge council.” As such, program descriptions were modified to better articulate that researchers are expected to engage in KMb activities and to promote SSHRC’s recognition that KMb is an integral part of the research process. One respondent provided an example illustrating how SSHRC has incorporated and promoted KMb activities in the research process. *“The researchers were forced to innovate in the dissemination of results (e.g. digital dissemination or using open access approaches instead of always presenting research results uniquely by way of conferences, because this is not appropriate for all audiences, such as non-academic audiences).”*

Key informants also highlighted that over the period being considered, there had been a change in rhetoric about the meaning of KMb, moving away from one-way dissemination toward multi-dimensional flow of knowledge. Key informants had also

observed changes in behavior in the SSH research community, moving toward engaging in certain methodologies and activities related to knowledge mobilization (e.g., co-creation, open access, etc.) and changing how results are disseminated - from traditional (conferences and journal articles) to more multi-dimensional exchanges (social media, open access, etc.). Moreover, as a result of the KIS grants there has been an increase in institutional engagement and support in KMb activities. Furthermore, one respondent pointed out that KMb is a growing field of scholarly enquiry and that SSHRC is supporting some of this research.

Given the evaluation's aim to inform new programming, key informants were asked about the relevance of the Connection Grants funding opportunity. On the whole, respondents indicated that they felt that the objectives of the new Connection Grants funding opportunity seemed to respond to the current and future needs of the SSH community. The funding opportunity has instituted a new, continuous-intake model that is seen as more open and flexible, with a simpler application process. As a result, it is more receptive to the community and less prescriptive. In fact, these changes were incorporated in response to consultations with the SSH community. One respondent elaborated by saying that *"this allows for greater innovation on the part of the researcher."* A few key informants indicated receiving positive feedback on the new Connection funding opportunity from the community. On the other hand, it was noted it is still early in the funding opportunity's lifecycle and that the program is not yet working at full capacity. Early uptake of the Connection grants has been promising, with about 220 applications for Connection Grants received during the first nine months, seemed to portend significant demand.<sup>36</sup>

Key informants were aware of some similar sources of funding for KMb activities, including: institutional grants from certain universities usually for small amounts (under 5K); other federal granting agencies; Quebec granting agencies; international granting agencies such as ESRC (in the UK); the Australian Research Council., the Research Unit for Research Utilisation (RURU) in Scotland, Council of Canadian Academies, Policy Horizons and private/non-profit organizations. Although other alternative sources were identified no further details were provided on these other KMb funding opportunities. Key informants were clearly of the view that there would be an impact if SSHRC no longer funded KMb activities. In fact, some key informants went as far as to say that there would be a major negative impact on the research community. One key informant indicated that *"If SSHRC were to back off now, we would be telling the community that this (KMb) isn't important, but we are just starting to get to the point where universities might start recognizing them [KMb activities] in terms of granting tenure."* More specifically, the following potential negative impacts were cited: greater difficulty demonstrating (in the short and long-term) the impact of SSH research in the development of policies, barriers to the use of knowledge by the public and the research

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<sup>36</sup> Due to high demand, applications to the program were suspended on February 20 2013.

community; fewer incentives to network, to co-create knowledge, and to participate in outreach activities; less visibility of SSH research and less influence on policy development due to fewer connections with Canadian society; and increased strain on young scholars and researchers in remote areas because they would have fewer opportunities to mobilize their research results to the community.

In summary, internal key informants perceived a strong need for SSHRC to continue funding KMb activities. Respondents indicated that the SSH research context is changing and a greater understanding on the part of the community with regards to valuing the importance of KMb activities as part of the research process is becoming more apparent and accepted.

Many internal key informants also mentioned that the link between the objectives of the KMb Strategy are consistent with the Government of Canada's priorities for funding SSH research as cited in the Knowledge-Based Economy piece of the S&T strategy. In addition, respondents referred to KMb Strategy as a necessary tool, required to deliver on SSHRC's strategic ambitions, as it has been deemed important to leverage the connections between disciplines, internationally and between sectors in order to ensure that research results/findings are shared with the community and Canadians.

### **Case study respondents' views on the importance of SSHRC funding**

The SSHRC funding, whether for the SKC or the KIS grant, was considered essential by all case researchers to support their KMb activities. Some research user partners were also convinced of the ongoing relevance of a federal/SSHRC role. There was consensus that their activities, as well as their growth in expertise and effectiveness over time, would not have happened in the absence of SSHRC funding.

Over and above the funding provided, case study respondents indicated that SSHRC's support had been critical in several ways. First, the SSHRC funds allowed leveraging of other resources, which together enhanced the team's capacity to achieve their KMb program objectives. Leveraging of funds is discussed in more detail in section 4.2. Several of the case grants used seed funding to encourage researchers' and students' participation in initiating KMb activities such as preparing policy briefs. In some cases this seed work led to the development of new or strengthened connections between researchers and knowledge user partners, with new projects and new investments. The prestige associated with the SSHRC "brand" was also a critical element over and above SSHRC funding. Case study respondents reported that having been recognized by SSHRC with the KMb grant increased their stature in the eyes of potential partners and reassured them as to the credibility of the KMb work. In addition, the SSHRC funding conveyed a neutral stance on the policy issues at hand. It is important to recognize that conducting policy-relevant research by definition means being present in arenas of public and political debate; indeed, some of the case study research topics areas were current and controversial. The SSHRC funding assured research user partners that the



researchers' agendas were driven by evidence and science rather than ideology, allaying the perceived risk of entering into KMb partnerships.

That the SSHRC funding allowed hiring of staff and expertise dedicated to KMb improved the grant teams' responsiveness to policy-influence opportunities, the reach and quality of their KMb tools, and their capacity to seek out and obtain additional resources. Not surprisingly for all these reasons, SSHRC's current direction in support of KMb is seen as highly relevant by these program participants.

On the other hand, both key informant interviewees and case study respondents documented that KMb is more pervasive within the SSH research community. This development appears to be gaining momentum: the SSH research community is developing networks among its members, in a form of self-organizing to support KMb development, through the Research Impact Network. This group, led by York University, now comprises ten universities. Membership requires an institutional commitment to and investment in KMb.<sup>37</sup>

### **Knowledge mobilization as a research field**

The scholarly literature about knowledge mobilization has grown substantially during the period under consideration, especially in some scholarly fields: for example in health services, which has had prominent emphasis on using research to improve health services and outcomes since the early 1990's,<sup>38</sup> and environmental sciences.<sup>39</sup> Parallel, although in some respects lagging, interest has grown about knowledge mobilization as a research field in the social sciences. It should be noted, however, that limited scholarly work was found regarding knowledge mobilization in the humanities. Early research having established that utilization of social science knowledge by policy-makers and practitioners was more prevalent and multidimensional than had been previously assumed but also falling well short of potential,<sup>40</sup> subsequent attention has been paid to unpacking messy concepts and clarifying actors' roles and critical processes in knowledge mobilization.<sup>41</sup> Most recently, growing interest in evaluating the effectiveness of knowledge mobilization in the social sciences has established that

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<sup>37</sup> Research Impact. retrieved from: <http://www.researchimpact.ca/home/>

<sup>38</sup> For a historical review, see Grimshaw, J. et al. (2012). Knowledge translation of research findings. Implementation Science, retrieved from <http://www.implementationscience.com/content/7/1/50>

<sup>39</sup> Shaxson, L. et al. (2012). Expanding our understanding of K\*  
[http://www.inweh.unu.edu/River/KnowledgeManagement/documents/KStar\\_ConceptPaper\\_FINAL\\_Oct29\\_WEBsmaller.pdf](http://www.inweh.unu.edu/River/KnowledgeManagement/documents/KStar_ConceptPaper_FINAL_Oct29_WEBsmaller.pdf) Shaxson. "K\* is the collective term for the set of functions and processes at the various interfaces between knowledge, practice, and policy. K\* improves the ways in which knowledge is shared and applied; improving processes already in place to bring about more effective and sustainable change"

<sup>40</sup> Landry, R., Amara, N., & Lamary, M. (2001). Utilization of Social Science Research Knowledge in Canada. Research Policy, 30(2), 333-349.

<sup>41</sup> Cooper, A. & Levin, B. (2010). Some Canadian contributions to understanding knowledge mobilisation. Evidence & Policy, 6(3), 351-369.

ineffective practices are widespread,<sup>42</sup> and that there is a need to assess effectiveness from the perspective of knowledge users.<sup>43</sup>

Social science granting councils worldwide are becoming more and more sensitized to, interested in and committed to ensuring effective supports for effective knowledge mobilization.<sup>44</sup> Internal SSHRC document review suggested that while SSHRC has in some ways led these advances, gaps persist. These mainly relate to the need to continue, expand and refine KMB opportunities<sup>45</sup>, with greater emphasis on the role of stakeholders so that their interests are represented throughout the research process.<sup>46</sup> Researchers could take more advantage of new methods and approaches for connecting their research to the public and other audiences.<sup>47</sup> Another identified gap is insufficient recognition of KMB at the institutional level to incentivize the time and effort needed.<sup>48</sup> There is a need for SSH research to have extrinsic value, with a concomitant imperative to demonstrate the impacts of research.<sup>49,50</sup> Lastly, consistent terminology for KMB and a more unified literature on KMB theory and best practices would facilitate the promotion and proliferation of KMB research and practice.<sup>51</sup>

Within this context, SSHRC administrative data were examined to determine the level of activity in knowledge mobilization scholarship being funded by SSHRC, within and outside of the four programs under study, during the evaluation period. These data, shown in Table 7, found a total of 93 awards in the four programs with key words related to knowledge mobilization, over the eight-year study period, out of the total

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<sup>42</sup> Qi, J. and Levin, B. (2013). Assessing Organizational Efforts to Mobilize Research Knowledge in Education. *Education Policy Analysis Archives*, 21 (2), 1-24.

<sup>43</sup> Cooper, A. & Levin, B. (2010). Some Canadian contributions to understanding knowledge mobilisation. *Evidence & Policy*, 6(3), 351-369.

<sup>44</sup> E.g., Armstrong, F., & Alsop, A. (2010). Debate: Co-production can contribute to research impact in the social sciences. *Public Money & Management*, 30(4), 208-210.

METRIS Technopolis (2010). *Monitoring European Trends in Social Sciences and Humanities. Synthesis Report 2010*, retrieved from:

[http://www.metrisnet.eu/metris//fileUpload/otherPublications/METRIS%20synthesis%20report\\_2010.pdf](http://www.metrisnet.eu/metris//fileUpload/otherPublications/METRIS%20synthesis%20report_2010.pdf)

<sup>45</sup> Yetman, D. (2012). *Assessment of the 2009-2011 Social Sciences and Humanities Research Council of Canada's Knowledge Mobilization Strategy and Recommendations for 2012-2014*. St. John's NL: ItSticks, Inc.

<sup>46</sup> Social Sciences and Humanities Research Council. (2006). *Knowledge Impact in Society Policy Report*. Ottawa, ON.

<sup>47</sup> Social Sciences and Humanities Research Council (2006). *Knowledge Impact in Society Policy Report*. Ottawa, ON..

<sup>48</sup> Kamboureli, S. Re: Letter to Craig McNaughton, Social Sciences and Humanities Research Council of Canada, July 8, 2011.

<sup>49</sup> Social Sciences and Humanities Research Council (2009). *Programs and Quality Committee. Minutes from January 26th, 2009, Ottawa, Ontario*.

<sup>50</sup> Social Sciences and Humanities Research Council (2010). *Programs and Quality Committee. Minutes from February 5th, 2010, Ottawa, Ontario*.

1,683 awards for these programs – an overall proportion of 2.4%. Although the proportion of Knowledge Impact in Society awards which included scholarship on knowledge mobilization (at least according to their application keywords) was substantially higher at 35%, this is still less than half of these grants.

Applications to other SSHRC funding opportunities during the years 2004-2011 that contained key words pertaining to knowledge mobilization were also extracted. Table 7 shows the 10 programs that attracted the most applications referring to knowledge mobilization. The programs which had the largest number of applications and awards that included key words related to knowledge mobilization (after the highly numerous Standard Research Grants) were Community-University Research Alliances (CURA) and the SSHRC Doctoral Fellowships (also highly numerous). Although recently introduced under the new program architecture, the Partnership Development Grants funding opportunity ranked fourth overall. This is consistent with an expressed interest for knowledge mobilization funding opportunities within SSHRC’s target community.

**Table 7: Proportion of applications that included knowledge-mobilization related keywords, 2004-2011**

Funding opportunity	# Applications with KMb keywords/total applications (%)	# Awards <sup>1</sup> /total applications (%)
<b>KMB programs under evaluation</b>		
Aid to Research Workshops and Conferences	30/2189 (1.4%)	13/1327 (1.0%)
Knowledge Impact in Society	28/100 (28.0%)	7/20 (35.0%)
Public Outreach Grants	25/355 (7.0%)	18/241 (7.5%)
Strategic Knowledge Clusters	10/288 (3.5%)	2/95 (2.1%)
<b>Total</b>	<b>93/2,932 (3.2%)</b>	<b>40/1683 (2.4%)</b>
<b>Other Funding Opportunities</b>		
	<b># Applications with KMb keywords</b>	<b># Awards</b>
<b>Research programs</b>		
Standard Research Grants program	<b>36</b>	16
Community-University Research Alliances (CURA)	<b>29</b>	13
*Partnership Development Grants	<b>19</b>	7
International Opportunities Fund	<b>14</b>	4
*Partnership Grants	<b>14</b>	3
Research Development Initiatives	8	2
Major Collaborative Research Initiatives	8	2
<b>Research training programs</b>		
SSHRC Doctoral Fellowships	47	4
Joseph-Armand Bombardier Canada Graduate Scholarships - Master's	12	6
SSHRC Postdoctoral Fellowships	6	2

Source: AMIS as of March 2013

<sup>1</sup> Applications with decision code “1”, “1A”, and “1L” were considered awarded.

\*Funding opportunity under the new PAA.

### **3.2 Does the Knowledge Mobilization Strategy continue to be consistent with SSHRC and government-wide priorities?**

Data regarding consistency of the KMb Strategy with SSHRC and government priorities are drawn from two sources: internal and external document review of priorities and internal key informants’ views of consistency.

#### **Documentation of priorities**

Ample documentary confirmation found that the KMb Strategy is consistent with SSHRC and government priorities. In SSHRC’s Strategic Plan 2013-16<sup>52</sup>, KMb is related to all three strategic priorities:

- *Priority 1: Promote and support Canadian excellence in social sciences and humanities research and talent development*, through the sub priorities “Champion merit review processes that are robust, efficient and sustainable, and that recognize a broad range of research contributions” and “Strengthen and promote international connections and collaboration in research and talent development”
- *Priority 2: Work with Canadian postsecondary institutions and other organizations to build a 21st-century research and training environment in the humanities and social sciences*, through the sub priority “Strengthen policies and other supports that recognize, preserve and value the full range of outputs, outcomes and impacts of research and training”
- And especially, *Priority 3: Position knowledge and expertise about human thought and behaviour to bring maximal benefits to Canada and the world*, through the sub priorities “Support research and talent development in important future challenge areas for Canada”; “Promote the value of multisectoral partnerships for Talent, Insight and Connection”, and “Enhance and promote the contribution of social sciences and humanities to robust cultures of innovation across the private, public and not-for-profit sectors in Canada.”

It is clear that KMb is a priority for the Council, and is seen as part of all three umbrella programs: Insight, Talent and Connection.

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<sup>52</sup> Social Sciences and Humanities Research Council. Strengthening Canada’s Cultures of Innovation. SSHRC’s Strategic Plan, 2013-16 retrieved from: [http://www.sshrc-crsh.gc.ca/about-au\\_sujet/publications/strategic\\_plan\\_2013-16-plan\\_strategique\\_2013-2016\\_e.pdf](http://www.sshrc-crsh.gc.ca/about-au_sujet/publications/strategic_plan_2013-16-plan_strategique_2013-2016_e.pdf)

The document review also confirmed that SSHRC's KMb strategy is consistent with federal government priorities. Canada's S&T Strategy emphasizes the federal government's support for collaborations between academic, business and private sectors. The strategy further describes partnerships as a way of bringing together unique capabilities, interests, and resources of various and varied stakeholders to deliver better outcomes and as essential in transforming Canadian efforts into world-class successes.<sup>53</sup> The Science, Technology and Innovation Council's *State of the Nation* report echoes the view of collaboration as important to fostering Canada's competitive advantage.<sup>54</sup> Most recently, Innovation Canada's report, *A Call to Action, 2011*, highlights the positive economic impacts of connections between researchers and the users of research.<sup>55</sup>

All internal key informants indicated that the KMb Strategy continues to be consistent with both government-wide priorities given the strategic objectives' alignment with the Knowledge-Based Economy component of the S&T Strategy. In addition, respondents felt that the new Connection Program is consistent with SSHRC's priorities given that the KMb funding opportunities support the sharing of research results/findings and impacts with both the SSH research community and more broadly with Canadians. Connection is a key SSHRC strategic ambition: important to leverage the connections between disciplines, internationally and between sectors. Moreover, SSHRC-funded KMb activities are seen as necessary for communicating the value of research to users and receptors, and to create the necessary conditions for discovery and innovation.

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<sup>53</sup> Industry Canada (2007). Science and Technology Strategy: Mobilizing Science and Technology to Canada's Advantage, retrieved from: <http://www.ic.gc.ca/eic/site/icgc.nsf/eng/00871.html>

<sup>54</sup> Canada, Government of (2008). Science, Technology and Innovation Council Reports: State of the Nation 2008—Canada's Science, Technology and Innovation System, retrieved from: [http://www.stic-csti.ca/eic/site/stic-csti.nsf/eng/h\\_00011.html](http://www.stic-csti.ca/eic/site/stic-csti.nsf/eng/h_00011.html)

<sup>55</sup> Canada, Government of (2011). Review of Federal Support to R&D: Innovation Canada: A Call to Action, retrieved from: [http://rd-review.ca/eic/site/033.nsf/eng/h\\_00287.html](http://rd-review.ca/eic/site/033.nsf/eng/h_00287.html)

## **4. FINDINGS: Performance – Achievement of Expected Outcomes**

### **4.1 How effectively have SSHRC’s funded KMb tools<sup>56</sup> and approaches disseminated research knowledge to academic and non-academic audiences?**

The evidence for this evaluation question was drawn from review of performance data and the multiple-case study. Performance data were extracted from midterm reports and final research reports for the SKC, and final reports from grants for the remaining three funding opportunities. Case studies complemented these data with interviews of principal investigators, research users/partners and students. Although the evaluation question refers to “dissemination”, this term was interpreted more broadly to include other elements or forms of knowledge mobilization, in line with the definition in the Knowledge Mobilization Strategic Framework.<sup>57</sup> In addition, it should be noted that while academic dissemination through publications and conferences etc., is clearly central to dissemination for all SSHRC funding opportunities, bibliometric review and other forms of assessing academic knowledge mobilization were considered beyond the scope of this study.

#### **Performance data review of funded KMb tools and approaches disseminating research knowledge to academic and non-academic audiences**

The outputs produced by funded projects under the SKC, KIS, POG and ARWC were reviewed to assess their contribution to knowledge dissemination and mobilization in SSH disciplines. The focus of this section is on various types quantifiable outputs (e.g., articles, web sites, workshops, etc.) targeted to various audiences, both academic and non-academic. Information sources about KMb outputs were Final Research Reports (FRR), Activity Reports, Mid-Term and Final Reports, covering the period 2004 to 2011, as illustrated in Table 8. It should be noted that exceptionally, mid-term reports were used as a proxy for final reports in the case of the Strategic Knowledge Clusters network grants<sup>58</sup>. Productivity of funded projects, however, may continue beyond the life of the grant as the research or activities will continue to produce outputs.

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<sup>56</sup> Expected outputs for the select KMb funding opportunities included tools and mechanisms to facilitate knowledge mobilization. This was achieved through tools that would facilitate interactions and exchange of information and knowledge among research producers and research users.

<sup>57</sup> See section 2.1.

<sup>58</sup> Strategic Knowledge Clusters grants awarded in 2006 and 2007 are still active, with expected completion dates of 2014 and 2015 respectively.

**Table 8: Final Research Reports/Final Activity Reports received, as of January 2013, for competition years 2004 to 2011**

Competition Year	Funding Opportunity (Program ID)								
	KIS	Public Outreach Grants						ARWC*	SKC
		604	605	606	608	609	610		
2004*								132	22
2005*	7							119	32
2006*								133	0 <sup>59</sup>
2007*	5	8						151	0
2008		8	13	7				124	
2009		3	4	2	9			148	
2010			2		3			196	
2011					1	0	0	94	
<b>Sub-total</b>	12	20	19	9	13	0	0	1097	54
<b>Total</b>	<b>12</b>	<b>61</b>						<b>1097</b>	<b>54</b>

Source: FRR database, AMIS database, CPEA, Report on the Analysis of Performance Measurement for SSHRC's ARWC

\*For ARWCC, sampling for performance data review is limited to the years 2004 to 2007<sup>60</sup>

### Number and types of tools/approaches and events produced by funding opportunity

In milestone, mid-term and final reports, the SKC full clusters networks and KIS grant reported producing a total of 3,887 tools (vehicles and mechanisms) (Table 9). These tools have been used for broad translation and mobilization of research knowledge. They included: research tools, conference presentations, media outputs, web sites, articles in popular journals, audiovisual, performance, educational aids, etc. (see the Performance Data Review Technical Report for a full list). Research tools (including knowledge syntheses) and conference papers were the most common types of outputs.

According to their milestone, mid-term and final reports, the SKC and KIS grants also held a large number of events: a total of 2,713. These included workshops, conferences, symposia, videos/webinars, mass media broadcasts, and other events. (See the Technical Report for a full list). Meetings, workshops, and conference presentations

<sup>59</sup> Strategic Knowledge Clusters grants awarded in 2006 and 2007 are still active, with expected completion dates of 2014 and 2015 respectively.

<sup>60</sup> Analysis of ARWC activity reports is based on data from: Social Sciences and Humanities Research Council. the Report on the Analysis of Performance Measurement, conducted by SSHRC's CPEA Division, June 2009.

were the most common types of events. Close to 50% more events per grant were reported for SKC grants.

**Table 9: SKC and KIS grants – KMB tools/approaches and events produced**

Funding Opportunity	No. of mid-term / final reports	No. of tools	Mean no. of tools per grant	Range of tools per grant	No. of events	Mean no. of events per grant	Range of events per grant
SKC	18	2478	138	4-328	1808	100.4	23-312
KIS	12	1409	117	35-230	905	75.4	13-252
<b>Total</b>	<b>30</b>	<b>3,887</b>			<b>2,713</b>		

Source: SKC mid-term reports and KIS final reports

With respect to SKC Developmental/Completion Grants and Public Outreach Grants, data from Final Research Reports (Table 10)<sup>61</sup> were analyzed. In this section of the FRR, grant holders were asked to list all research and other contributions from their SSHRC grant. Analysis of FRR data reveals that a total of 1000 outputs were produced, of which 244 under the SKC developmental/completion grants, and 756 under the Public Outreach Grants. More than half of the outputs produced (55%) were targeted to non-academic audiences (Table 11). Although conference papers (192) ranked first, other non-academic outputs (146), radio and television and public lecture (138) and audio, video, multimedia, web site (110), ranked second, third and fourth respectively..

**Table 10: SKC Developmental/Completion Grants and POG grants – KMB outputs produced**

Funding Opportunity	No. of final research reports	No. of outputs	Mean no. of tools per grant	Range of tools per grant
SKC	46	244	5.3	1-44
POG	57	756	13.3	1-46
<b>Total</b>	<b>103</b>	<b>1000</b>		

Source: FRR database

<sup>61</sup> Final Research Reports were required from grant holders for the SKC developmental/completion grants and the POG dissemination grants. Of the 115 FRRs that were received, 103 contained outputs.



**Table 11: Number of KMb outputs by type, SKC Developmental/Completion Grants and Public Outreach Grants**

Research Contributions	Number	
	/Completion Count	Percent
<b>Academic Outputs</b>		
Conference paper	192	19%
Book chapter	82	8%
Book or textbook	61	6%
Peer reviewed article in a research journal	58	6%
Other academic output	54	5%
Thesis	1	-
Exhibition catalogue	1	-
<b>Total Academic Outputs</b>	<b>449</b>	<b>45%</b>
<b>Non-academic Outputs</b>		
Other non-academic outputs <sup>1</sup>	146	15%
Media, radio, television, public lecture	138	14%
Audio, film, video, CD, multimedia, website	110	11%
Article in popular media, trade journal, research journal or web	83	8%
Reports	50	5%
Development of policies and programs, advisory, consulting	24	2%
<b>Total Non-academic Outputs</b>	<b>551</b>	<b>55%</b>
<b>Total</b>	<b>1000</b>	<b>100%</b>

Source: FRR database

<sup>1</sup>Analysis of other outputs revealed that about two-thirds of these outputs were products (e.g., working papers, reports, etc.) and one-third were events (e.g., seminars, posters, etc.)

Note: The types of outputs were recoded and clustered from 23 categories to 10 more general groupings (see Technical Report for a complete list of codes and clusters)

For the Conference grants in the Aid to Research Conferences and Workshops (ARWC) program, data on the number and type of presentations/events that were held at the conference were extracted from the Conference final activity report. These showed that a total of 9744 presentations/ events were held between 2004 and 2007; 95% of these involved individual presentations and 96 % had keynote speakers (Table 12).

**Table 12: Conferences Grants - Number and types of presentations, 2004-07**

Presentation Type	No. of presentations/ events	Average	Percentage of conferences participating in category
Individual presentations	7121	64	95%
Panels	964	15	56%
Poster presentations	488	11	24%
Other	473	7	57%
Keynote speakers	451	4	96%
Roundtables	188	3	41%
Art installations	59	1	20%
<b>Total</b>	<b>9,744</b>		

Source: CPEA, Report on the Analysis of Performance Measurement for SSHRC's ARWC, 2009<sup>62</sup>.

For the Research Workshops and Conferences grants in the ARWC funding opportunity between 2004 and 2007, data on the number of deliverables completed were reported as a direct result of the event. Shown in Table 13, these data indicate that workshop outputs most often cited were articles (for 72% of workshops) and that conference outputs were most often conference proceedings (86% of conferences). These indicate that, consistent with the goals of the ARWC program, its main outputs were delivered to academic audiences.

**Table 13: ARWC Research Workshops and Conference Grants, number and type of deliverables completed<sup>1</sup>, 2004-2007**

Deliverable Type	Research Workshops (n = 88) <sup>63</sup>	Conferences (n = 114)
Article	63	
Website	38	70
Book	29	
Journal (e.g., special issue of academic journal)	7	26
Report	6	36
Workshop/conference proceedings	9	97
Position paper	1	
Policy paper	1	
Video	8	90
Art work/cultural production	5	30
Other	13	21
Follow-up event		10
<b>Total</b>	<b>180</b>	<b>380</b>

Source: CPEA, Report on the Analysis of Performance Measurement for SSHRC's ARWC, 2009.

<sup>62</sup> CPEA, Report on the Analysis of Performance Measurement for SSHRC's ARWC, 2009

<sup>63</sup> Activity Reports were required from grant holders for both research workshops and conferences. Of the 535 activity reports received for the years 2004-2007, a total of 202 were used for the performance analysis in: CPEA, Report on the Analysis of Performance Measurement for SSHRC's ARWC, 2009

<sup>1</sup>Analysis is based on completed deliverables, and does not account for planned or in-progress deliverables, which was also reported.

### **Case study evidence of KMb tools and approaches disseminating research knowledge to academic and non-academic audiences**

The case studies showed an enormous range of types of approaches, mechanisms, activities, events and products used to enact KMb. These varied in their innovativeness and their reach to various target audiences, as well as how deeply they involved engaging and interacting with the knowledge users. They also varied in success, in that several cases reported having experimented with KMb tools or approaches that proved to be less successful than hoped. The long-term SKC grants allowed experimentation, emergence and refinement of KMb tools and approaches.

The types of KMb approaches used in the cases studies were examined along three dimensions:

**Relational:** the relationship of knowledge producers to knowledge users;

**Content origins:** where the knowledge that is mobilized comes from and to whom it belongs;

**Media:** the channels or means of moving knowledge among the parties involved.

**Relationships with knowledge users.** Seven different types of relationships were documented in the eight case studies, with all cases involving more than one type. These are shown in decreasing order of prevalence:

1. Assessing what knowledge users need to know, even if they are not aware of it themselves yet, and either conducting or repackaging knowledge that could help them address problems, or issues or improve programs or services;
2. Following emerging areas of public debate, and when attention turns and policy windows open, being ready with knowledge to contribute to the debate;
3. Increasing accessibility of knowledge products to a set of policy people who were expected to be interested in the knowledge;
4. Creating open platforms for interested parties to better access each other;
5. Providing services to knowledge users who approach researchers with research questions;
6. Approaching, asking and following knowledge users to find out what they are going to need to know in the next years, and preparing to supply it for them; and
7. Working closely with knowledge users and co-producing knowledge.

It can be noted that these types of relationships have also been examined in the scholarly literature of knowledge mobilization, contrasting models involving relatively low levels of involvement by practitioners, for example as the providers of data or

passive recipients of research findings, against models where practitioners play an active role in research.<sup>64</sup>

Overall, it appeared that the most effective cases used multiple types of relations, depending on the audiences, the issues, the stakes and the timing. As well, teams were more successfully achieving uptake through their relationships with knowledge users when they were more proactive than reactive, and in particular more attuned to timing issues, i.e., timing their KMb to the moments when potential knowledge users could use it (parties on both sides of the knowledge user – knowledge producer equation sometimes complained about each other’s timelines). KMb linkages at multiple organizational levels (vertical) and units (horizontal) were an emerging phenomenon among some of the KIS/SKC grants, where there were research-team connections at the executive, program management, and practitioner levels of the same organization, or at the provincial, regional and local levels of an intervention domain.

An important result of the co-construction model was the development of research capacity in partner organizations. Several partners stated that although they valued research, they lacked capacity to engage in it, and that partnering with the SSHRC team had allowed them to access research capacity in a new and valuable way.

The cases generally used advisory or governance mechanisms to anchor, formalize and value relationships with research users. Their members were strategically chosen to be able to advance mobilization of knowledge, either directly or by providing strategic advice and access to key decision-makers.

**Content origins.** The cases also varied in how they located the knowledge that was being mobilized. In the co-construction relationship, content was developed with research users on a project-by-project basis. In other cases, the teams started from the premise that there were already large amounts of research-based knowledge available that could beneficially be mobilized, and so sought to match existing knowledge to potential venues of uptake and use. In still other models, the researchers involved in the SKC grant generated new knowledge that they considered responsive to user needs that they mobilized in an end-of-project mode. Some proponents of this approach were critical of the SKC for not including research funds, and worked to gain parallel research funding during the SKC grant. In another variation, the SKC administrators identified policy-relevant questions and then sought to incentivize researchers to address them (sometimes encountering limited interest).

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<sup>64</sup> Martin, S. (2010). Co-production of social research: strategies for engaged scholarship. *Public Money & Management*, 30(4), 211-218.

**Content origins variations found in the case studies:**

- Lots of content is already available, and the researcher's aim is to find and mobilize it in response to user needs
- Content that is responsive to user needs is developed through parallel funding (issue raised regarding the SKC grants)
- Content is co-constructed with research users on a project-by-project basis

Some of the cases were confronting interesting issues related to new meanings of and ideas about intellectual property in the context of knowledge mobilization. In KMb practices that involve research users and beneficiaries as active participants instead of merely being “research objects”, questions of ownership and rights to publish or veto publication become blurred. These issues were especially daunting where knowledge was being mobilized through web-based technologies. As well, when researchers worked with research users in models that attempt to be structurally equitable – all voices equally important – questions were raised about equity of access to status and recognition in conditions of participation – i.e. who is getting paid, or otherwise recognized, as part of KMb. Interestingly, one case university is moving toward creating intellectual property in the SSH and merging, or more closely aligning, its technology transfer and KMb functions.

**Media.** It was found that the case studies were using a wide range of media or channels to ensure the flow of knowledge between and among researchers and research users. Types found in the cases are shown in Table 14.

**Table 14: Types of media used to mobilize knowledge, case studies of KIS and SKC grants**

<b>Types</b>	<b>Examples</b>
<b>Documents</b>	Working papers, discussion papers, policy briefs, e-newsletters; research summaries, and other types of other reports, documents and papers
<b>In-person meetings</b>	Formal events such as conferences and workshops
	Informal activities such as breakfast/lunch meetings; meetings where senior decision-makers came together with researchers under a Chatham house rule, to allow frank dialogue and exploration on policy issues.
<b>Electronic</b>	Websites, some with very sophisticated and wide-ranging functionalities; blogging and ensuring to be blogged about by other influential bloggers; Twitter feed to promote activities, reports, events etc.; creating Youtube and other videos on KMb tools, techniques, or to mobilize knowledge.
<b>Practical tools</b>	Toolkits, practice guidelines, guidebooks, manuals, databases, and repertoires
<b>Teaching/ training</b>	Teaching and mentoring of students involved in the grants as research assistants; training of practitioners; training trainers approach, where practitioners were mobilized to train others in their organizations or regions; training of future practitioners, for example in professional education programs at the undergraduate or professional certification levels; training for faculty in developing their KMb skills, notably in the use of social media for KMb.
<b>Funding mechanisms:</b>	Seed grants to support the production of policy-relevant documents or tools; re-design of a community funding program, orienting its support towards an evidence-based practice more effective in achieving community development goals.
<b>Media coverage:</b>	Print, radio and television news coverage, receiving national coverage (e.g., Globe and Mail), as well as provincial and local attention; on-line media coverage; coverage in media think pieces (e.g., CBC Radio's Ideas); Citation by think tanks.

The lifespan of the SKC grants spanned a period of emerging capacity and interest in social media and communication technologies as a means of KMb. Early adopters of these among the grants studied now see that these are becoming mainstream. On the other hand, the cases also included some who have been slower to adopt such tools. However, most cases had developed KMb approaches and tools using social media.

While case studies grant teams made use of teleconferences, Skype and videoconferences, particularly within research teams and with students, they were unanimous that face to face interactions enable effective KMb at critical points on the mobilization process. They appeared to be critical in two major ways: 1) development of

trust and respect between researchers and knowledge users, which also creates a sense of mutual responsibility and accountability; 2) creation of unpredicted opportunities or openings for KMb potential to be seized. Several cases cited examples where they had been able to make strategic use of opportunistic encounters to undertake KMb that came up in the margins (e.g., break times, driving people to the airport), of other meetings or through fortuitous connections. Advisory committee members were often used to broker the initial contacts. The importance of interpersonal relationships in effective KMb has also been documented in the scholarly literature.<sup>65</sup>

Partners interviewed for case studies had generally found the tools and approaches for KMb to be relevant and effective – although views of this were sometimes mixed even within the same cases. In addition, the relevance and effectiveness of tools and approaches can be inferred from the fact that other partners, not interviewed, have made KMb materials and tools produced through the cases available to their audiences or memberships, for example on their websites, through training programs, etc. (Some examples are discussed under question 6.) It should be noted that for some case participants, it was not necessary that the tools and approaches be innovative as long as they were effective. Several of the knowledge mobilization tools and approaches had won or been nominated for prizes.

Over all three of these dimensions – relationships with knowledge users, content origins and media -- it clearly emerged from the case studies that the groups most successfully carrying out effective KMb were systematically and strategically using multiple approaches and adapting them for different knowledge user audiences. There was clear consensus that effective KMb has three critical features: use of a diverse set of tools and methods in a multi-layered, multi-pronged approach, that involves a) at least some regular events or activities that become part of the collective agenda for stakeholders in the domain, and b) at least some opportunities for face-to-face interaction.

**Disincentives to engage in KMb.** Although not designed to investigate this issue deeply, the case studies did find evidence that there remain significant disincentives for researchers to engage in KMb. There was also some evidence that SSHRC is not fostering KMb development as actively as it could be, when its peer review processes have not recognized or rewarded current thinking about KMb. Some case study researchers acknowledged that, while they were glad to have participated in KMb by, for example writing a policy brief, they were conscious of a departmental expectation that they not spend too much time on such activities. In another case, a researcher noted that, as per university policy, a rather major policy tool produced through the SSHRC SKC had been weighted in her tenure review score with a specified fraction of the weight given to

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<sup>65</sup> “Far too much emphasis is placed on products as opposed to creating interpersonal connections, which are much more powerful”. Levin. B. Current thinking and policy ideas, retrieved from: <http://webspace.oise.utoronto.ca/~levinben/policyideas.htm>

journal articles. A prize-winning trainee noted that he believed that his postdoctoral fellowship application involving knowledge mobilization was rated poorly because it was “not straight-up research.” Other organizational and institutional barriers have been more widely documented in the scholarly literature on knowledge mobilization.<sup>66</sup>

**Key role of KMb coordinator/expert.** Case study initiatives made effective use of Knowledge Mobilization Officers, Liaison Officers or Program Coordinators who occupied that function, situated within research teams. They provided the critical interface between academic and KMb products. This involved a specific skill set, highly valued by the principal investigators, that allowed the officers to have the content background to understand the academic research, an awareness of the policy and knowledge context to assess where the knowledge could be mobilized and how, and the skills to know how and when to frame and package sets of research findings into the appropriate media and language for the intended audiences. That the SKC and KIS supported these types of positions was seen by PIs as one of their most important features. In several cases, these individuals had developed these skills through their SKC or KIS grant experiences and then went on to similar and, in one case, permanent positions at their institutions. The performance data provided evidence that a number of KMb experts had been hired under both select KIS and SKC projects. This finding is supported by the scholarly literature, which emphasizes the importance of funding dedicated KMb experts or knowledge brokers<sup>67</sup> to enhance capacity in mobilizing research knowledge.<sup>68</sup>

#### **4.2 How successful were the KMb funding opportunities in promoting and/or developing partnerships, networks, communities of practice and other linkages?**

This question was addressed using data from both the administrative data and performance review on the number and sector of partners and the evolution in partner numbers over time, on resources leveraged through partnerships, and case studies of how partnerships contributed to achievement of KMb outcomes.

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<sup>66</sup> E.g., Appendix 2 – Summary of Obstacles for K\*. See: Shaxson, L. et al. (2012). Expanding our understanding of K\* (appendices), retrieved from: [http://www.inweh.unu.edu/River/KnowledgeManagement/documents/KStar\\_Summary\\_Appendices1and2-April62012-FINAL.pdf](http://www.inweh.unu.edu/River/KnowledgeManagement/documents/KStar_Summary_Appendices1and2-April62012-FINAL.pdf)

<sup>67</sup> Phipps, D.J. & Shapson, S. (2009). Knowledge mobilisation builds local research collaboration for social innovation. *Evidence & Policy*, 5(4), 221-227.

<sup>68</sup> Bansal, P. et al. (2012). Bridging the research-practice gap. *Academy of Management Perspectives*, 26(1), 73-93.



## Number and sector of partners and change over time

Performance review data on the number of partners were available for three of the four funding opportunities, ARWC being the exception as partnership development is not a program goal. In total, 1146 partner organizations were listed as partners in applications, milestone, midterm and/or final reports for the SKC, KIS and POG funding opportunities. Table 15 shows the number of partners by funding opportunity. Longer funding opportunities and those that encouraged partnerships -- Knowledge Impact in Society and Strategic Knowledge Clusters -- had more partners. This large number of partners suggests that the funding opportunities were very successful in creating partnerships.

**Table 15: Number of research partners**

Funding Opportunity	Number of reports with partners	Total number of partners	Average number of partners
Public Outreach Grants 2007 to 2010 <sup>1</sup>	44	155	3.5
Strategic Knowledge Clusters 2004-2005 (pilot phase) <sup>1</sup>	34	234	6.9
Strategic Knowledge Clusters – full clusters <sup>2</sup>	18	545	30.8
Knowledge Impact in Society <sup>3</sup>	10 <sup>3</sup>	212	21.2
<b>Total</b>	<b>106</b>	<b>1146</b>	-

Source: FRR database, SKC mid-term reports, KIS final reports.

<sup>1</sup> As reported in FRRs submitted.

<sup>2</sup> As reported in the mid-term reports submitted in 2011

<sup>3</sup> Only 10 out of 12 KIS reports contained data on research partners

For the full Strategic Knowledge Clusters grants, partner data was extracted from mid-term reports submitted in 2011 for the grants' mid-term review and compared to the data at time of application. For both these grants, and especially the SKCs, there was an increase in the number of partners over time – a 69% increase in the case of the longer-term SKCs ---, as shown in Table 16. Note that these data are not available in AMIS, as partner data are not updated in the system for these opportunities.

**Table 16: New partners from application to mid-term**

Funding Opportunity	Number of partners at application	Number of partners at mid-term	% increase
Strategic Knowledge Clusters – full clusters	323	545 <sup>1</sup>	69%
Knowledge Impact in Society <sup>2</sup>	183	212 <sup>2</sup>	16%
<b>Total</b>	<b>506</b>	<b>757</b>	<b>49%</b>

Source: SKC mid-term reports, KIS final reports

<sup>1</sup> As reported in the mid-term reports submitted in 2011

<sup>2</sup> Only 10 out of 12 KIS reports contained data on research partners

Intended audiences or main receptors are the key users of mobilized research knowledge identified by the principal investigators. Examination of these data shows the types of knowledge user partners that the funded projects were aiming to reach. Table 17 summarizes the receptors ranked first among three identified by researchers in their applications, mid-term or final reports for SKC (full network grants) and KIS. Academic and other experts were most often named as main receptors for the SKC full networks and ARWC workshops and conferences grants, followed by policy-makers/decision-makers and professionals/practitioners. For KIS, the receptor focus was less on academia.

**Table 17: Main receptors (rank 1) of SKC, KIS and ARWC’s funded projects’ knowledge mobilization efforts**

Receptors	KIS <sup>1</sup>	SKC-main <sup>2</sup>	ARWC workshops <sup>3</sup>	ARWC conferences <sup>3</sup>
Academics and other experts	5%	44%	41%	39%
Decision-makers		5%	18%	17%
Policy-makers		17%	-	
Community groups	11%	5%	-	1%
Community leaders	17%		-	-
Federal government	5%		-	-
Provincial government		5%	-	-
Libraries, museums, archives	5%		-	-
Non-profit organizations	11%		-	-
Professionals/practitioners	5%	11%	17%	19%
Private sector	5%	5%	-	-
General public			17%	16%
Students		5%	4%	4%
Other			4%	4%

<sup>1</sup>As reported in Final Reports.

<sup>2</sup>As reported in Mid-term reports

<sup>3</sup>As reported in Activity reports.

The audience for the outputs listed in the Final Research Report used for SKC (developmental/completion grants) and POG was not always specified as this information was only gathered for outputs listed as “other contributions” in the FRR template. The audiences for the 784 outputs for which they were specified (55% of SKC and POG outputs) are shown in the next table.

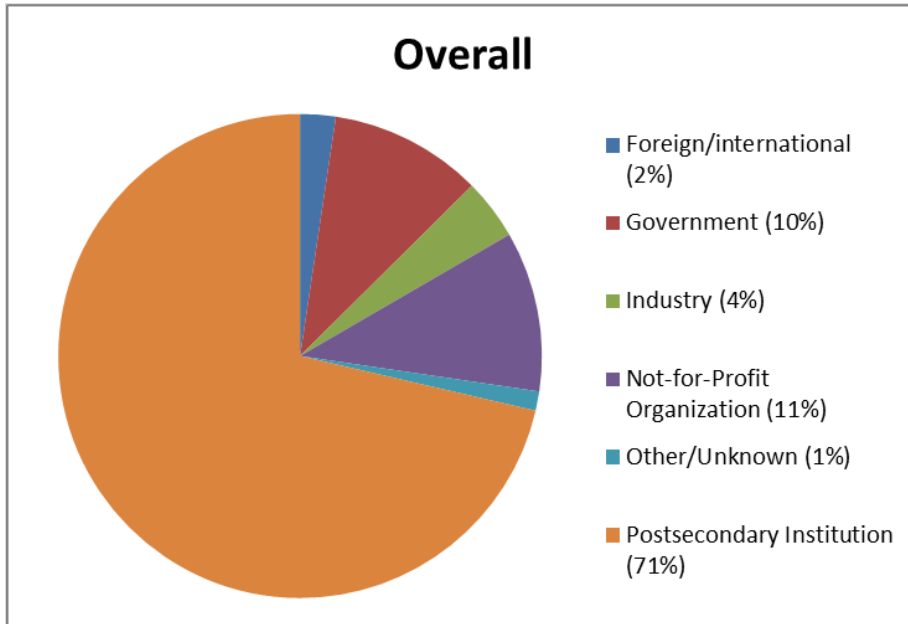
**Table 18: Audience for Other Research Contributions, for SKC (developmental/completion) and POG**

Broad Categories	Sub-Categories	Count	Percent
Public and the media (23.9%)	Informed public (formerly- educated)	56	7%
	General Public	129	16%
	Media	2	0%
Academics and experts (22.4%)	Academic and Other Experts	152	19%
	Learned Societies (discipline based)	24	3%
Professionals, practitioners and administrators (19%)	Professionals/Practitioners	146	19%
	Administrators	3	1%
Universities and Students (10.2%)	Universities	54	7%
	Students: Undergraduate - Graduate	26	3%
Policy and decision-makers (7.8%)	Policy-makers	34	4%
	Decision Makers	27	3%
Community leaders and groups (5.0%)	Community Leaders	18	2%
	Community Groups	21	3%
Government (4.7%)	Federal Government	30	4%
	Provincial Government	5	1%
	Municipal Government	2	0%
International organizations and foreign government (4.2%)	International Research Organizations	26	3%
	International Organization	1	0%
	International Intergovernmental Body	3	1%
	Foreign Government	3	1%
Non-academic organizations (non profit, private, unions) (1.7%)	Non Profit Organizations	4	1%
	Private Sector	10	1%
Libraries, museums, archives (1.0%)	Libraries, Museums, Archives	6	1%
<b>Total</b>		<b>784</b>	<b>100%</b>

Source: FRR database

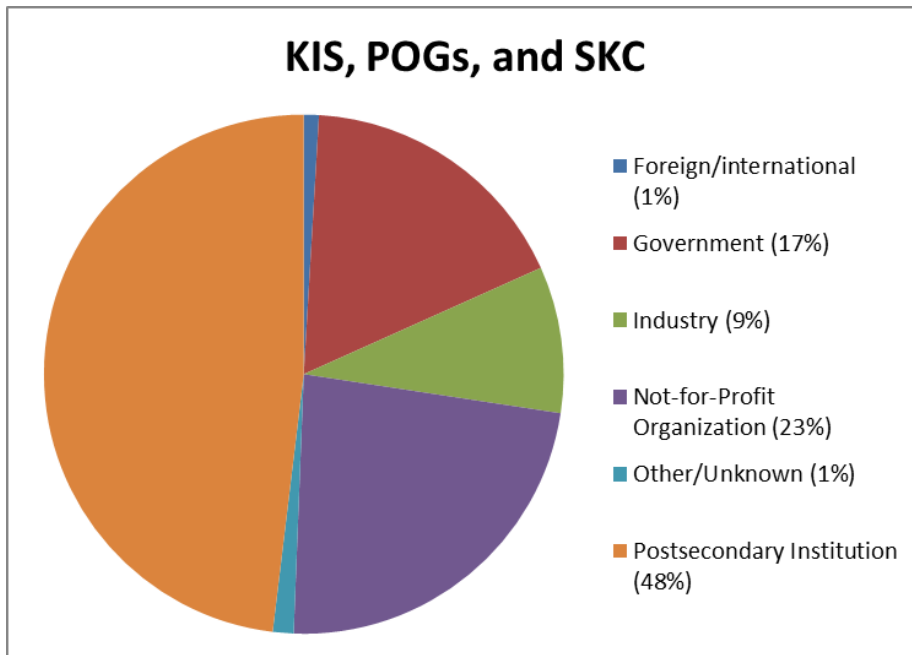
A large array of organization types are involved within funding opportunities as contributors, including partners and sponsoring organizations. They include aboriginal associations, museums, private business enterprises, and different levels of government. It is important to recognize that many of SSHRC's disciplines in the social sciences have natural affinities for KMB at the subnational level: provincial, regional, municipal. In line with the above, all funding opportunities have postsecondary institutions as the largest organization sector, but with variations, from 37% for KIS to 80% for ARWC. Not-for-profit organizations and government share second and third place. Industry represents a fair share of contributions for KIS, POG, and SKC. Figures 6 and 7 show the diversity of partner organizations' sectors, overall (Figure 6) and without ARWC (Figure 7).

**Figure 6: Sectors of partner and sponsoring organizations at time of application – all four funding opportunities<sup>69</sup>**



Source: AMIS database

**Figure 7: Sectors of partner and sponsoring organizations at time of application – KIS, POG and SKC**



Source: AMIS database

<sup>69</sup> All successful applications under the four funding opportunities in Figures 6 and 7.

## Leveraged contributions

Funded projects from all four KMB funding opportunities were expected to leverage additional funding and resources through partnerships and/or other support organizations within projects. Two sources of information are available, each with its own set of strengths and limitations:

- Application data provide detailed information as to the expected contributions, both financial and non-financial, and their value. However, anticipated contributions may not accurately reflect revenues that were, in fact, received. Anticipated and actual contributions from partners may differ considerably, given that all contributions were pledged but not confirmed at the time of application, during the period covered, 2004-2011, there was not yet a formal statement of contribution attached to the application.<sup>70</sup>
- Final Reports, Final Research Reports, Activity Reports or Mid-Term Reports provide information on actual funds leveraged through partnerships. However, format and content varied significantly among the various reporting forms, including the fact that mid-term reports only report on the first 4 years of the seven-year SKC grants. For example, FRR data does not include estimated cash value attributed to non-financial contributions, and data on other funding sources from the ARWC activity reports were deemed particularly problematic because of lack of clear instructions on what should be included and excluded such as in-kind support. As well, all reports listed above do not refer to partnerships listed at the time of application, which means that there is only partial indication as to what happened to those partnerships listed in the original application.

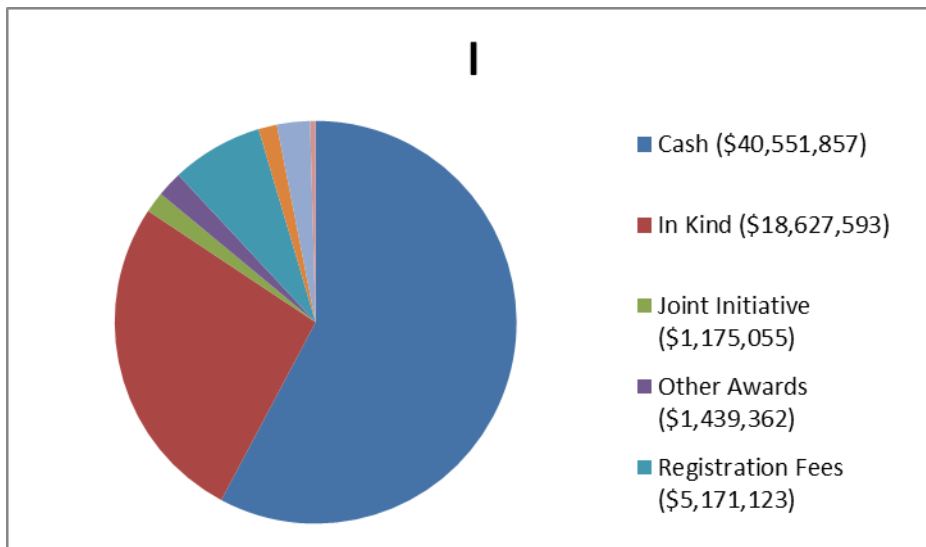
Additionally, description categories used for contributions in the applications and the Final Report, FRR and Mid-Term Reports are not identical. Given these limitations, data from FRR and other sources are reported separately in this section.

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<sup>70</sup> Social Sciences and Humanities Research Council of Canada (2012). Guidelines for Cash and In-Kind Contributions, retrieved from: [http://www.sshrc-crsh.gc.ca/funding-financement/policiespolitiques/cash\\_inkind-especes\\_en\\_nature-eng.aspx](http://www.sshrc-crsh.gc.ca/funding-financement/policiespolitiques/cash_inkind-especes_en_nature-eng.aspx)

From the application data, as can be seen in Figure 7, most of the anticipated leveraged revenue at the time of application was to be in form of cash contributions (57.8%) and in-kind contributions (26.5%), followed by registration fees (7.4%) and staff (2.7%).

**Figure 8: Proportion of total expected funds to be leveraged by contributors, by contribution type between 2004 and 2011 for all funding opportunities under study**



Source: AMIS database

The evaluation provided evidence that substantial resources, both in terms of financial and non-financial contributions, have been leveraged through the partnerships or other organizations developed in these funding opportunities. Table 19 shows the total amount of direct financial contributions for SKC (full network grants), KIS and ARWC funding opportunities, while POG and SKC (developmental/completion) grants are presented in the following paragraphs. This included funds from other grants, from SSHRC and other sources, as well as direct contributions to the research. A total of \$39,978,371 was leveraged from KIS, SKC and POG grants. The full network cluster SKC grants, up to their mid-term report, accounted for \$32,752,838 (82%) of this total.

**Table 19: Direct funds leveraged**

Funding opportunity	Total amount of direct contribution	Average amount of direct contribution	Approximate average amount per year of grant	Grant annual maximum
Aid to Research Workshops and Conferences <sup>1</sup> (n=114)		\$20,043	\$20,043	(depends on size – \$20,000 to \$50,000)
Aid to Research Workshops and Conferences - Workshops <sup>1</sup> (n=88)		\$9,233	\$9,233	Up to \$25,000
Knowledge Impact in Society <sup>2</sup> (n=10)	\$4,228,227	\$352,352	\$117,450	\$100,000/3 years
Strategic Knowledge Clusters –full grants <sup>3</sup> (n = 18)	\$32,752,838	\$1,819,602	\$363,930 (over 4 or 5 – years – to midterm)	\$300,000/7years

Source: AMIS database, SKC mid-term reports, KIS final reports, ARWC analysis on performance, CPEA Division

<sup>1</sup>From 114 out of 273 Conferences Activity Reports and 88 out of 216 Workshops Activity Reports, 2004-2007.

<sup>2</sup>From 10 out of 12 Final Reports.

<sup>3</sup>From all mid-term reports from 2006 and 2007 SKC full cluster grants.

According to the Final Research Reports, partners also made a direct financial contribution to 27 out of 61 POG grants, and 12 out of 54 SKC developmental/completion grants. For POG grants (n=27), reported financial contributions totalled \$1.2 million (contributions ranged from \$250 to \$250,000 each). For SKC developmental/completion grant (n=12), reported financial contributions totalled \$1.7 million (contributions ranged from \$4,000 to \$625,000 each).

As mentioned, no financial value was attributed to the non-financial contributions. The Final Research Reports listed 1,120 partner non-financial (and non-monetized) contributions for POG and SKC developmental/completion grants, in the following proportions:

- Diffusion and dissemination of findings (18%);
- Improvements to research design (13%);
- Financial contribution (11%);<sup>71</sup>
- Intellectual contribution (15%);
- Knowledge application (11%);
- Networking (13%);
- Staff time (7%)

<sup>71</sup> It is unclear why there exists “Financial contributions” as part of the non-financial contributions listed in the FRRs.

- In-kind contribution (unspecified) (8%)
- Other (5%)

The case study grants were representative of all grants in that they were able to leverage considerably more resources, sometimes more than the original grant amount. In many cases, the SKC/KIS grant was said to have been critical in the leveraging of other resources, which together enhanced the team's capacity to achieve their KMb program objectives.

### **Institutional support**

The role of institutional support for KMb was raised by the case studies, as well as key informant interviewees. Of the two KIS grants studied, one was seen as having had a transformative institution-wide impact that had led to increased and sustained investment in KMb capacity development and KMb supports for both the academic and research user communities. This institution now provides a wide range of supports and services to its academic community, including capacity development in KMb for faculty and students, brokering of research partnerships with community organizations, and supporting scholarship in KMb. Findings from an SKC case study at the same institution showed that this grant's investigators and students had benefitted from the support and training (for example, presentations on knowledge mobilization, workshops on plain language writing and social media) provided by the institution. The principal investigator noted that in his view, the university had become a laboratory for students to develop and hone their KMb skills, and as a result was having significant effects on career and research orientations across entire faculties. In contrast, the other KIS grant included as a case study provided important infrastructure within the institutional lead's home department, in some ways replacing a prior infrastructure grant from another source. While institutional impacts were observed in terms of encouraging engagement in KMb through modelling, this grant did not appear to serve to develop broad-based institutional capacity.

It should be noted that Knowledge Impact in Society funding opportunity was branded as an institutional grant, providing funding for university-based strategic knowledge mobilization initiatives, based on the following stated broad objective "to explore the potential of an institutional funding model to support effective knowledge exchange and mobilization". As well, the sponsoring university or universities were required to provide funding to match that from SSHRC, up to a maximum of \$100,000 annually. However, based on the review of available KIS final reports (n=14)<sup>72</sup>, there was little evidence that the institutional nature of the KIS grants had been actualized as per the program objectives: the KIS grants rather appear to have operated as faculty-driven grants supported by institutional resources. For example, there was no commitment to a

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<sup>72</sup> Two additional KIS final reports were received by the final phase of the evaluation study



strategic plan as in other institutional programs (e.g., CRC and CFI). On this note, KIS final reports did not include a specific section regarding institutional support and commitment, and only a few principal investigators took the initiative to address this question. However, key informants pointed out that the creation of institutional KMb units in some universities across the country may have been stimulated by the KIS funding opportunity.

Interestingly, however, among the SKC case studies, there was similar variation in institutional embracing of the KMb capacity development opportunity. At one extreme, investigators cited their disappointment in their university's failure to provide promised institutional support. At another extreme, the host university for an SKC grant provided, and continues to provide, significant structural and dollar investment (including staff positions) for the research areas developed through the SKC grant. This support comes from the highest level of university governance, beyond the PI's home department, and has resulted in this research area acquiring a special, extra-faculty status that allows it greater visibility and flexibility within the university structures, as well as greater freedom to collaborate with other institutions. Thus, that research institutions in both the SKC and KIS funding opportunities varied in their engagement in the development of institutional KMb capacity suggests that there is a continued need to promote and foster institutional support for KMb.

### **Contribution of partnerships and linkages to KMb outcomes**

The multiple-case study provided data showing that overall the cases were highly successful in extending their existing and further developing partnerships, networks, communities of practice and other linkages. Different models were used:

- **Networks and networks of networks:** This is consistent with the SKC funding opportunity: "a strategic knowledge cluster is a national or international network of researchers in the social sciences and/or humanities that fosters collaboration or otherwise contributes to a particular issue, theme or content area."<sup>73</sup> Some networks involved individual researchers in different places, while some were linked institutions. In the latter model, some cases created nodes or hubs of teams in different regions of the country. These allowed development of linkages at partnerships with research users at the appropriate levels of jurisdiction. The nodes were linked together through various tools and mechanisms to ensure knowledge flow among them. Some of these grants

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<sup>73</sup> For SKC program description, see Social Sciences and Humanities Research Council of Canada. Summative Evaluation of the Networks of Centers of Excellence- New Initiatives Final Evaluation Report, September 29, 2009, Retrieved from: [www.sshrc-crsh.gc.ca/about-au\\_sujet/publications/NCE-NI\\_FinalE.pdf](http://www.sshrc-crsh.gc.ca/about-au_sujet/publications/NCE-NI_FinalE.pdf)

appeared to renew prior networks funded through previous SSHRC mechanisms and other funders. One had a very close association with a NCE Knowledge Mobilization Initiative Network (NCE-KM) and resembled it in both structure and functioning.

An issue identified with a network model was competition among universities that would lead researchers to seek to remain “loyal” to their institution so as to be able to have local partners identify with their local university, and to be able to take “partnership credit”. This was dealt with proactively in two ways in the cases studied: by hosting of the SKC grant in an extra-faculty site that facilitated inter-institutional linkages; or by creating a meta-institutional structure that all partners, through their regional nodes, could be affiliated with.

- **Bilateral partners:** Here, the cases specifically targeted key organizations as partners in their domain of knowledge and worked to strengthen and deepen relationships. These partners were federal departments, provincial ministries, and not-for-profit organizations, including coalitions with a jurisdiction-wide mandate. In several cases, in both the SKC and KIS grants, bilateral partnerships that had been important at the outset of the grant shifted over time, as partners became less able to engage, and were replaced by new partnerships that were pursued to achieve knowledge mobilization goals. For example, withdrawal of federal government departments from partnerships led to case study grants deliberately seeking out partners in the same or similar policy domains at the provincial government level.
- **Opportunity partners:** There were several examples among the case studies where opportunities for partnerships had presented themselves through an initial contact that was made through a third party, and where the KMB aims of the grant were furthered by nimble response.

Within their partner organizations, case study grants worked with multiple organizational layers, using different approaches and mechanisms for different layers. Many of the cases worked with people in high level decision-making positions: Executive Directors, Directors, Assistant Deputy Ministers and occasionally, Deputy Ministers. They used various strategies to gain access to these individuals’ busy agenda in face-to-face-meetings: as described above, these could include creating opportunities around other events, or meetings for lunch or breakfast. A practice highly consistent across cases was going to the decision-makers’ offices to meet with them, as opposed to asking them to attend meetings in other locations. This had implications for travel and associated costs, for example, by having research team members travel regularly to seats of government from wherever their research team was located. Case study grants also worked with individuals in program or service delivery management positions in their partners’ organizations, especially when the work they were doing was aiming to influence professional practice or programs delivered by professionals – for example,

teachers or social workers. Some cases were also actively engaged with community or citizen boards, councils, or committees, sometimes many of these, at very local levels.

Working with mid-level research and policy analysts in partner organizations was very

#### **Levels of partnerships found in case studies**

- High level decision-making positions: Executive Directors, Directors, Assistant Deputy Ministers, Deputy Ministers
- Program or service delivery managers
- Mid-level research and policy analyst
- Community or citizen boards, councils, or committees

common among the case studies. These individuals were seen as having a natural affinity to partner with researchers as they generally had research training and/or were familiar with the research world. The case studies identified that policy analysts in government departments play an especially crucial role in knowledge mobilization, because they are the gatekeepers to moving knowledge up the chain of command in their organization to higher-level decision-makers. Policy analysts interviewed pointed out that in order for them to mobilize knowledge -- decide that it would be valuable to their organization and thus to prepare materials to influence their managers -- the knowledge had to come to them in ways that were appropriately framed and timely for their policy domain. Some policy analysts interviewed noted that academics often appeared to poorly understand the realities of the decision-making process within government; confirming this, several researchers interviewed (who, it must be noted, do not have bosses and have likely never worked in a hierarchy that had authority over their work) wondered why policy analysts didn't use their material when it seemed self-evident that they should, or appeared to assume the policy analysts could mobilize knowledge that was counter to current political orientations.

The case studies were not necessarily the most objective window on the question of partnership effectiveness; as noted earlier, those nominated and reached for interviews were likely biased towards favorable partnership outcomes. We were unable to interview partners whose association had lapsed or faltered, for whatever reason. Overall, the partners regarded their partnerships with the research teams as successful, beneficial, and worthy of continuation. In some cases, it was clear that the partnerships would have been as successful outside of or in the absence of the SSHRC grant.

In most of the case studies, partners were essential to achieving knowledge mobilization outcomes. It was through partnerships that the research teams exerted influence on the

policy, program or practice questions that they were trying to influence. Moreover, the networking carried out during the grants gave the research teams access to wider ranges of KMb audiences, sometimes deliberately and sometimes fortuitously. However, some partners noted the challenges of attributing impacts in a complex and shifting policy worlds.

All cases were able to identify partnerships that had worked less well than planned. These were with partners at all levels. This was sometimes a timing issue, and some times of not having the most effective local partners. Challenges were also frequently reported in engaging federal government departments and national organizations, either because the issues were politically sensitive or unpopular, or because of jurisdictional complexity. There were also instances of competing interests, among partners who were unsure about working together or about engaging with the research team when they had alternative sources of policy or program support. In some cases, partners, who were initially involved, became disengaged over time, as ideologies and resources shifted. From the perspective of partner organizations, it was of course necessary that they be open to research and/or working with researchers. Partners in one case noted that in their work environment (a provincial government), such partnership is not always valued. In these circumstances, the research teams worked along the “paths of least resistance” with research-friendly organizations, even though these may not become the organizations who could reap the greatest benefit from KMb. Overall, however the partnership challenges were not in any way related to program design, but rather the normal challenges of navigating complex inter-organizational relationships addressing questions of social and economic significance.

### **4.3 How successfully did the KMb funding opportunities develop capacity in highly qualified personnel and students in the area of knowledge mobilization?**

Information about the numbers and levels of students’ participation in the KMb programs came from the document review, the performance data review and case studies.

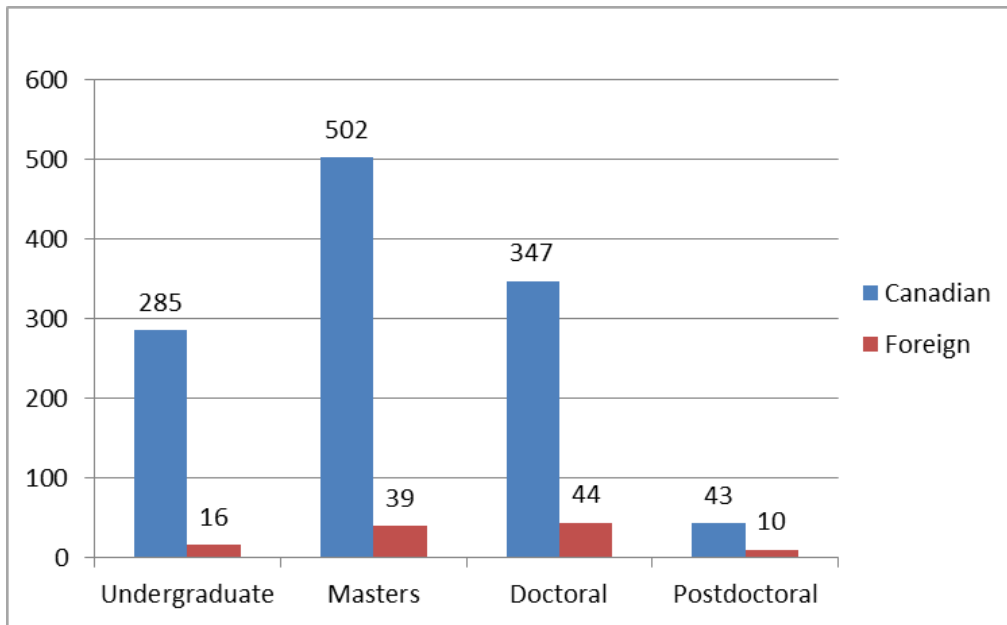
#### **Number and levels of participating trainees**

A total of 1,177 students and 109 postdoctoral researchers benefited financially from KMb funding opportunities (KIS, SKC and POG).<sup>74</sup> As Figure 10 indicates, students at all levels were hired under these grants, with the highest number at the Masters level. Overall, 70% of all Canadian students and postdoctoral researchers and 69% of all foreign students and postdoctoral researchers were hired under the SKC.

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<sup>74</sup> Note: For ease of comparison, only paid students were reported for the KIS and SKC funding opportunities. As well, the other – non-student category was not included, as this data was not collected for the KIS and SKC cluster grants.

**Figure 9: Number of Canadian and foreign students and postdoctoral researchers for POG, KIS and SKC funding opportunities, 2004-2010**



Source: POG, KIS and SKC funding opportunities, based on data available from mid-term and final reports. Data on students were missing from 4 out of 12 KIS reports.

With respect to highly qualified personnel hired on projects, the majority of SKC and KIS projects reported hiring of a project coordinator/manager. As well, five SKC and three KIS projects reported KMB hiring coordinators and other specialized staff, particularly for website design/development and social media.

Under the ARWC funding opportunity, results on total numbers for student involvement were available for both the conference and workshop grants for Canadian and foreign students.<sup>75</sup> For conference grants, students were involved primarily as members of the conference's organizing committee or team, as shown in Table 20. These involved a total of 1,086 students (36% undergraduate, 32% Masters, 30% Doctoral and 3 Postdoctoral fellows).

<sup>75</sup> Based on the CPEA analysis of ARWC performance data, it is unclear as to whether students were paid for their involvement on workshop or conference grants. One of the features of the funding opportunity was to allow the waiving of registration fees for student participants.

**Table 20: Number of students and postdoctoral researchers participating in ARWC Conference grants' organizing committees or teams, 2004-2007**

Level	# of Canadian students
Undergraduate	387
Masters	343
Doctoral	322
Postdoctoral	34
<b>TOTAL</b>	<b>1086</b>

Source: CPEA, Report on the Analysis of Performance Measurement for SSHRC's ARWC, 2009.

With respect to workshop grants, data was only available for the number of students and postdoctoral researchers who participated on average in a workshop, as presented in Table 21. On average, 28 Canadian and foreign students and postdoctoral researchers participated in a given workshop grant. There are no student training requirements under the ARWC workshop grants, with the exception of students' and postdoctoral researchers' participation at the event.

**Table 21: Average number of students and postdoctoral researchers participating in ARWC workshops, 2004-2007**

Level	Canadian (average)	Foreign (average)
Undergraduate	5	1
Masters	3	1
Doctoral	11	5
Postdoctoral	1	1
<b>TOTAL</b>	<b>20</b>	<b>8</b>

Source: CPEA, Report on the Analysis of Performance Measurement for SSHRC's ARWC, 2009

Qualitative analysis of student roles found that most students were involved in logistics and promotion activities, and several were in charge of the creation and/or maintenance of the website. Other student activities included the guidance to participants, the call for papers, the proceedings, etc. In some cases, students helped with the budgeting tasks and media contacts.

### **Training mechanisms for students and HQP in KMb**

Mid-term and final reports from the KIS and SKC main phase grants<sup>76</sup> provided evidence on the projects' training mechanisms for the development of knowledge mobilization skills for students, with varying level of involvement across grants. Principal investigators were asked to report on student and HQP training and development at each reporting stage, i.e., milestone, mid-term and final reports, where appropriate.

<sup>76</sup> There are no data on student skills for POGs and SKC developmental grants, as these are not captured in the Final Research Reports.

They were asked to indicate which specific networking and mobilization skills students and HQP have acquired through their participation in the KIS or SKC projects. These included:

- Project design (e.g., writing grant proposals)
- Mobilization (presentations, publications, organization of KMB events)
- Application of specific skills (website design, programming, language, software)
- Interactions (organization of events, liaison with stakeholders, participation in meetings with co-researchers and/or partners, mentoring of other students),

The case studies showed very mixed levels of involvement in developing students' and fellows' capacity in knowledge mobilization. Many students and researchers reported that students received fairly traditional graduate research training, with their KMB activity concentrated on developing skills for presenting at academic conferences. Some of these cases offered graduate fellowships which were essentially financial support for graduate research in line with the research program being conducted parallel to the grant. Cases that held workshops or meetings to which policy audiences were invited did, however, provide students with opportunity to meet and in some cases present to, people outside academia. However, in some cases students interviewed appeared to have had little exposure to or awareness of the knowledge mobilization strategies that were part of the grant. One of the KIS cases had not focused on training at all, and had only one student during the life of the program.

On the other hand, several cases studied offered opportunities for students to become highly engaged in KMB learning, though several means. These included:

- writing or producing documents for policy or practitioner audiences, receiving feedback from mentors about how to design and write products for these audiences;
- working to deliver knowledge mobilization content for example in training practitioners or delivering workshops on the mobilized knowledge; and
- carrying out KMB internships in policy or program settings.

One of the cases held annual Student Panel discussions where academic mentors involved in the grant frankly discussed the challenges of managing a successful academic career that also involves knowledge mobilization and applied research. Several of the SKC grants offered summer institutes that brought students together across institutions; some of these but not all appeared to be focused on skills development on KMB, whereas others were essentially an intensive graduate seminar. In one case, a master's level course in KMB was offered and another case held an annual conference for students. In one of the cases studied, students were fully engaged as equals along with

researchers and academic partners, and so experienced knowledge co-construction directly with community partners.

Two cases supported student-led organizations for students, providing them with opportunities to develop their own KMB skills and strategies. One of these was a network of graduate students that had solicited participation from students across Canada with similar interests. It held monthly meetings on topics of common interest. In another case, a group of graduate students from different regional centers developed their own KMB practice, and have now published a chapter on their approach and learning. This group also maintains a student KMB blog (<http://cpscstudents.wordpress.com/>).

### **Impacts on students**

Review of mid-term and final reports identified several types of intangible benefits to students, such the opportunity to be involved in collaborative, interdisciplinary work, in contrast to more traditional graduate work, and to develop experience within a large scale project (enough time to gain expertise). Opportunities for mentoring, access to or development of sophisticated materials (database, multimedia) and leading some aspects of the work were also raised as other key benefits by the report authors.

Views of students interviewed for case studies about their involvement in the SKC and KIS projects that had deeply engaged in developing their KMB skills were uniformly highly positive – (although again, this may be partly an artifact of the sampling methodology.) They especially appreciated opportunities to meet decision and policy makers, program deliverers and practitioners, to learn about their worlds and develop understanding and connections that they expect will be useful later in their careers.

*“There is a disconnect between research and people who need it, but we are learning how to bridge that.” (Student)*

Students identified several types of impacts related to the development of their KMB capacity, including the acquisition of experience in knowledge mobilization through participation in it and through this, observing impacts of research knowledge on policy, programs or practice. Also important among impacts identified by students was an effect on their future propensity to engage in knowledge mobilization, grounded in an enhanced or re-affirmed interest in ensuring their research would have societal benefit.

*“It's made me aware of the practical and policy implications and potential impacts of my work. It's exciting to feel that I can use it to make the world a better place, to present to policymakers. My view of what being a researcher was very narrow. That I didn't want to have impact. Now to see that knowledge mobilization conception, I understand that, I can see myself as part of that.” (Student)*



*"It's a unique and valuable experience to be part of the cluster. You don't get that focus in other grant programs or schools. I had never thought about knowledge mobilization before, and I wouldn't be getting this in my faculty normally. I was just getting a PhD and for me it just stopped there -- I never thought "people might use this". (Student)*

Several students reported that their involvement in knowledge mobilization, and in particular the opportunities to engage with individuals in partner organizations or community settings, had influenced their thinking about their research questions. This is an example of the circling back of Kmb, where mobilization with non-academic audiences influenced later research questions:

*"I had PhD funding from the [KIS]. In 2009 I attended a workshop that brought together people from a wide range of sectors in the community and industry who were instrumental in [KIS topic]. Talking to those people gave me great information that I built into my research project. Based on the conference I developed my thesis objectives." (Student)*

Most of the students interviewed intend to move into academic careers, and most were committed to a career that includes knowledge mobilization as a natural or routine component of the research process.

*"I have learned from doing this that knowledge mobilization is not formal or complicated. It's just part of doing research, just an ethical way of doing research... This grant is an opportunity not only to learn things about knowledge mobilization but to affirm that we do know how to do knowledge mobilization, that we're on the right pathway and that we can frame it within a more formal body of knowledge." (Student)*

For some students, the knowledge mobilization experience was a factor in their decision to undertake further graduate training and a career in research. This occurred when they had shifted from an academic area that they had found not very inspiring to discover a way of working that they personally found to be more meaningful and fulfilling.

*"In terms of training I had no idea that we could be working in this way and that I could be so at ease in this environment. This has made me discover other possibilities and given me tools for the future." (Student)*

*"My Masters research had nothing to do with [SKC topic]... I have no connection to that now. I had a [Kmb internship] and this has made me care deeply about the topic. (Student)*

There were also some career impacts cited for students who did not intend to engage in

academic careers but because of their experience in the grant, intended to remain connected to and be users of SSH research. Some of the interviewees' accounts suggested an unexpected impact on a dimension of HQP development that does not receive much attention: the valuing of Master's graduates who work in research-intensive settings. This not only applied to the KMB officers engaged by many of the grants, but also to students who had found a valued niche within knowledge mobilization teams or in practice settings.

*"I know I have a job not just temporarily, and even if I don't do a PhD there is a role for someone like me. For me it's helped me be more realistic about career possibilities." (Student)*

*"The [SKC] created multiple opportunities that branched out. For example a student had a mentoring relationship that helped him to develop presentation skills. This student didn't want to do research, but he took those skills and now has a job with [community organization] doing implementation of knowledge mobilization" (Community partner).*

For some students, the opportunity to make contacts and develop networks with other students and researchers in their field was an important impact which they expected would be valuable to their later careers.

*"I had an opportunity to do a postdoc here in this department and now I am applying for permanent jobs. This work ... connected me to many people in academic work and now I know people personally that will help me in my career." (Student)*

*"From this we are learning and developing relationships. Learning strategies from other students. Also it's helping to transition into early careers. It facilitates the relationship with community partners." (Student)*

Finally, some students also reported academic benefits such as the opportunity to develop publishing skills by publishing working papers that could later lead to journal articles.

Knowledge mobilization skills development was also reported for faculty. Several mechanisms were used to accomplish this: offers of grants for which the deliverable was a policy-relevant product; training on KMB, and tools to help researchers become familiar with new media. Also an important part of this effort was helping researchers overcome some of their unrealistic assumptions about how policy influence and change happens.

#### **4.4 To what extent have the KMb funding opportunities resulted in awareness and uptake of research-based knowledge by organizations and/or potential research users in the academic, public, private and not-for-profit sectors?**

Data on awareness, uptake and use of research-based knowledge come from case studies and in particular from interviews with representatives of research user partner organizations in the public and not-for-profit sectors. The case study methodology allowed the evaluation, as is recommended in the scholarly literature on KMb, to move past the shortcoming of using researchers' self-reported KMb outcomes, to assess the actual uptake and application of mobilized knowledge as seen by research users.<sup>77</sup>

There was clear evidence across the case studies of SKC and KIS grants contributions' to access, uptake, and application of research-based knowledge by receptor audiences; and in many case studies, there were multiple examples (indeed, the more partner interviews were conducted per case, the more examples were found). Research users described how they have used research-based knowledge mobilized through the SKC and KIS grants to improve of policies, programs, services and practices, and in some cases to document benefit to Canadians as a result of these improvements.

There were many examples of relatively small and local projects to which the grants' KMb activities have contributed, including through student projects. These often resulted from researcher and/or student involvement in evaluations, the results of which were applied to improve the program and services evaluated. Results of such studies were also used to support funding applications by the partner organizations, contributing to their capacity and sustainability. In some cases, local KMb projects were then brought to the attention of larger umbrella organizations, for example a provincial organization of which the partner was a local chapter then adopted or is considering adopting them, extending knowledge mobilization through those organizations' networks. In this way, "ground-up" networking was leading to spreading of knowledge mobilization well beyond the initial, small-scale projects.

In other cases, broader organizational impact was documented. Several examples were found of KMb initiatives that have the potential (or have been demonstrated to have) impacts on issues of social and economic importance Canada-wide. These types of uptake to which the SKC and KIS cases contributed included:

- **Development and implementation of evidence-based curricula and after-school programs in several provinces reaching hundreds of teachers and thousands of students, as well as teacher trainees and school governance bodies.** Dr. David Wolfe's SKC grant (Canadian Prevention Science Cluster for Children and Youth) is an

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<sup>77</sup> Cooper, A. & Levin, B. (2010). Some Canadian contributions to understanding knowledge mobilisation. *Evidence and Policy*, 6(3), 351-369.

example of use of multiple relational strategies. The project team anticipated needs for curricula and after-school programming by following ministry of education policy developments, and even before school boards and schools were aware of their impending program need, swept in to propose providing evidence-based programs tailored to the requirements, communities and cultures. This team has also provided program evaluation support services to community organizations to strengthen the evidential base for their programs; and created an open website platform for potential knowledge users to easily access materials and supports for these curricula and programs. The site currently offers curricula for preschool to university as well as specialized programs for Aboriginal and other specific groups ([http://www.youthrelationships.org/curriculum\\_resources.html](http://www.youthrelationships.org/curriculum_resources.html)).

- **Empirical support for the economic benefit of North America’s most prominent carbon tax which was re-affirmed by the Government of British Columbia in its 2012 budget.** <sup>78</sup> Effectively, SSHRC’s support reached all taxpayers of BC. Dr. Stewart’s grant, Sustainable Prosperity, is another example of use of multiple relational strategies. This team recognized that the provincial policy would require a legislated assessment and approached the government to offer to supply it. This assessment was instrumental in making a decision about maintaining the carbon tax or abandoning it (as was done with BC’s harmonized sales tax). All parties interviewed agreed that the knowledge mobilization in this example had turned the tide of public opinion on the issue, which is now having snowball effects elsewhere. For example, the “real-world” lessons of this carbon tax are now being studied by a Stanford-based, conservative think tank (The Hoover Institute) in addition to the Brookings Institute and by many scholars around the world. The British Columbia government has also recommended the SSHRC-funded work to a US Congressional Committee. The latter influence was not mentioned by the case researchers.
- **Training of over 600 municipal planners and elected municipal officials across Canada in evidence based planning practice, in support of implementation of a federally-endowed municipal development strategy.** This case illustrates an indirect contribution of the networks and linkages fostered through the SKC: Dr. Amelia Clarke, the researcher responsible for leading the training initiative based on her body of research work had been funded through a seed grant funded under the Sustainable Prosperity project to develop a policy brief on another topic. That policy brief was written by a student, but through it she made the linkages that led to her involvement with the Federation of Canadian Municipalities, the national umbrella organization that adopted and implemented the Canada-wide training program

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<sup>78</sup> British Columbia, Gouvernement of. Retrieved from : [http://www.bcbudget.gov.bc.ca/2012/bfp/2012\\_Budget\\_Fiscal\\_Plan.pdf](http://www.bcbudget.gov.bc.ca/2012/bfp/2012_Budget_Fiscal_Plan.pdf) Carbon Tax pp. 66-69

website.<sup>79</sup>This outcome was not mentioned by the principal investigators in the Sustainable Prosperity project, nor does it appear in their reports although Dr. Clarke is listed as a collaborator (and was nominated for an interview).<sup>80</sup>

- **Industrial development investment by Canadian and provincial governments.** Work by Dr. Murray Fulton's KIS grant team contributed to the securing of provincial funding for research and knowledge sharing.<sup>81</sup> In this case, a workshop conducted by the KIS team focused on mobilizing empirical knowledge about the status and components of an agricultural sector (forage) that was languishing, to improve its economic outlook. The grant team engaged multiple partners across sectors, including producers, industry, federal and provincial governments and research, and succeeded in galvanizing activity that led to a five-year investment from the federal and provincial governments, in a provincial network mandated to develop an action plan using an industry-led approach. The goals for this network include bringing together industry organizations, researchers and research organizations; developing a strategy to build research capacity; develop communication strategies with participating organizations to maintain a research priority list; and becoming a clearing house for research, tech transfer and research funding sources.
- **Evidence-based action plan and research agenda on the homelessness policy issue for the City of Calgary and the Government of Alberta.** Researchers from Dr. Stephen Gaetz' Canadian homelessness research network (CHRN) worked with the Calgary Homeless Foundation to mobilize research-based knowledge about how to address homelessness, an important social issue of steadily increasing magnitude and concern. This relationship influenced the 10-year Homelessness Plan, which has introduced evidence-based practices and strategies to tackle the problem. The CHRN also created an open website platform (<http://www.homelesshub.ca>) for potential knowledge users to easily access materials and supports, as well as capacity

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<sup>79</sup> Federation of Canadian municipalities. Advanced Training (Part 1): Implementing Sustainable Community Plans — Conditions for Success. Retrieved from: <http://www.fcm.ca/home/events/past-conferences/2012-sustainable-communities-conference-and-trade-show-post-conference-resources/advanced-training-part-1-implementing-sustainable-community-plans.htm>

<sup>80</sup> SSHRC is credited on the training presentation. See: Federation of Canadian municipalities Retrieved from: [http://www.fcm.ca/Documents/presentations/2012/SCC2012/Passing\\_Go\\_Moving\\_Beyond\\_The\\_Plan\\_EN.pdf](http://www.fcm.ca/Documents/presentations/2012/SCC2012/Passing_Go_Moving_Beyond_The_Plan_EN.pdf)

<sup>81</sup> See the following websites for more information: Sask Forage Council. The value of Saskatchewan's Forage Industry: A multilevel analysis (March 2010), retrieved from: <http://www.saskforage.ca/publications/Forage%20Industry%20Analysis%20Final%20Report%20low%20res.pdf>;

See also, Sask Forage Council. Retrieved from: [http://www.saskforage.ca/Coy%20Folder/Projects/SK%20Forage%20Network/SK\\_Forage\\_Network\\_overview-SFC\\_enews\\_Nov\\_2012.pdf](http://www.saskforage.ca/Coy%20Folder/Projects/SK%20Forage%20Network/SK_Forage_Network_overview-SFC_enews_Nov_2012.pdf)

development tools for research and knowledge mobilization. The City of Calgary has emulated this website in its own organization, and cites the SKC site as of enormous benefit to this policy community. The city is monitoring the population outcomes for the problem, and has completed evaluations of a major evidence-based intervention. At the five-year point of its Plan, in February 2013, it publicly reported empirical evidence of benefits in improving the lives of those affected by the issue. Moreover, partners interviewed noted that it has been notably more successful than similar plans, for example in Chicago; the partner credits the reliance on knowledge mobilization for their success. This level of success has now influenced the Government of Alberta to develop a 10-year plan<sup>82</sup> – the only province in Canada to have done so to date – and to invest over \$29 million in the program annually, as well as to create a province-wide research agenda.

- **Reform of funding mechanisms to support community economic and social development in a region of 1.1 million people.** In this example, a multi-level partnership between Dr. David Phipps' KIS grant (*The university as a civic change agent: community-based knowledge mobilization*) and a major community development NGO – United Way York Region – involved them jointly in strategic planning for their region. This led to co-development of a new funding model, Strength Investments,<sup>83</sup> derived from research-based knowledge about effective community and economic development strategies that was approved by the Board of Directors in late 2010. It is described by the organization as “*catalytic funding [that...] seeds and strengthens the infrastructure for bringing people together for critical thinking, strategic action planning and solutions seeking.*” Starting in 2011-12, this funding program has provided more than \$300,000 to community organizations to address pressing social issues with an additional \$2M committed over the next 5 years.
- **Cultural and social impacts of a Knowledge Impact in Society project, which are dependent upon the quality of its partnership and its interventions.** Dr. Joanne Burgess' project, *Laboratoire d'histoire et de patrimoine de Montréal*, that brings together academic researchers in the social sciences and humanities—who are mainly experts in history, heritage and urban studies—and partners from the cultural sphere helped to create a laboratory to showcase the heritage and history of the City of Montreal. The networking activities, collaborations and co-production of knowledge all helped to enrich the cultural offering (new website content, publications intended for the general public, exhibits). In its five-year review entitled *Bilan 2005-2010. Politique du patrimoine* (<http://ville.montreal.qc.ca>), the city

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<sup>82</sup> See Alberta Secretariat for Action on Homelessness. A plan for Alberta: ending homelessness in 10 years (October 2008), retrieved from:

<http://alberta.ca/albertacode/images/AlbertaPlantoEndHomelessness.pdf>

<sup>83</sup> See United Way York Region, at: <http://york.unitedway.ca/the-community-fund/strength-investments/>

underscored the benefits of this collaboration by highlighting projects that were carried out in partnership: development of a historical inventory of place names; development of an Internet site about the major streets; cartographic documentation of the riverfront areas; and enrichment of heritage inventories.

As has been indicated in the examples above, many of the principal researchers may not have been aware of the extent of knowledge uptake and application that their work had contributed to, or had not reported in their reports to date. It is therefore important to emphasize that this process identified many more distal impacts of second-level and beyond connections that are generally well outside SSHRC's range of vision. In other words, the reach of impact is actually far greater than SSHRC would normally document through its performance measurement strategies and tools.

## **5. FINDINGS: Performance – Delivery and Efficiency**

### **5.1 To what extent is the design and delivery (approach and capacity) of KMb funding opportunities conducive to achieving expected immediate, intermediate and long-term outcomes?**

Data on this question mainly come from internal key informant interviews about program design and outcome achievement, as well as observations about the challenges in identifying and using performance data in those programs with SSHRC's existing tools.

Key informants generally agreed that the outcomes in the KMb strategy had been achieved to some extent. Some key informants indicated that the greatest results in this area were with knowledge creators, knowledge brokers and knowledge users because they are now more aware of KMb and its importance in a research study. One respondent felt that the KIS grants had resulted in at least one notable success, "the grants helped build institutional and national capacity in KMb".

However, weaker understanding of and support for KMb are seen by some internal key informants from SSHRC's Council, standing Committees, peer reviewers and staff. Key informants identified some challenges with determining KMb outcomes: linking outcomes with a specific funded project (attribution is difficult). In general, it was felt that more needs to be done to facilitate the dialogue between researchers and practitioners. One key informant felt strongly that there is still work to be done before SSHRC can say it has achieved the expected outcomes in the KMb strategic framework given that many researchers still have very traditional views of knowledge mobilization. However, a few key informants noted that the culture is changing - now practitioners are part of selection committees and they evaluate the applicants' KMb plans (for Partnership Grants).

As to whether the new Connection Program will achieve its expected outcomes, the majority of the respondents indicated that the foundation has been put into place for the achievement of the Connection Program outcomes, although some respondents were more hesitant to make a judgment as they felt that it is still too early in the lifecycle of the Connection program. Key informants put forth program design suggestions to ensure the success of the program; these included modifying the program literature and information on SSHRC's website to be more inspirational as well as increasing SSHRC's role as a KMb facilitator/catalyst with the SSH community.

Overall, internal key informants felt that stakeholders were satisfied with the program delivery of the KMb funding opportunities. Key informants identified a number of design features that they considered as strengths of the ARWC program, notably the fact that new scholars were able to obtain SSHRC funding as well as the two



competitions a year. A number of weaknesses in the program design that could be addressed with the new Connection Program were identified. These included better articulating the KMB objectives, simplifying the ARWC application form and increasing staff resources for program delivery.

Looking forward, key informants discussed concerns with the following new Connection grants features. The one year limit for spending the funding may not be conducive for journals, books and/or other non-traditional dissemination activities (youtube channels, policy papers, etc.) – activities that are the result of an event. Key informants also commented that the continuous intake model may be more flexible; however, it is more difficult to determine the required resources and budget for efficient program delivery. In fact, one key informant indicated that *“the continuous intake model may be more flexible and inclusive for most types of events/tools, but may be more restrictive for spending the funds.”*

### **Challenges in identifying and using performance data in those programs with SSHRCs existing tools**

#### **Internal key informants’ views**

Many program staff mentioned that the Final Report for a Public Outreach Grant is different from the regular Final Research Report at SSHRC – *“they are difficult to work with for both program staff and researchers and they can’t be accessed online”*.

#### **Observations about data availability**

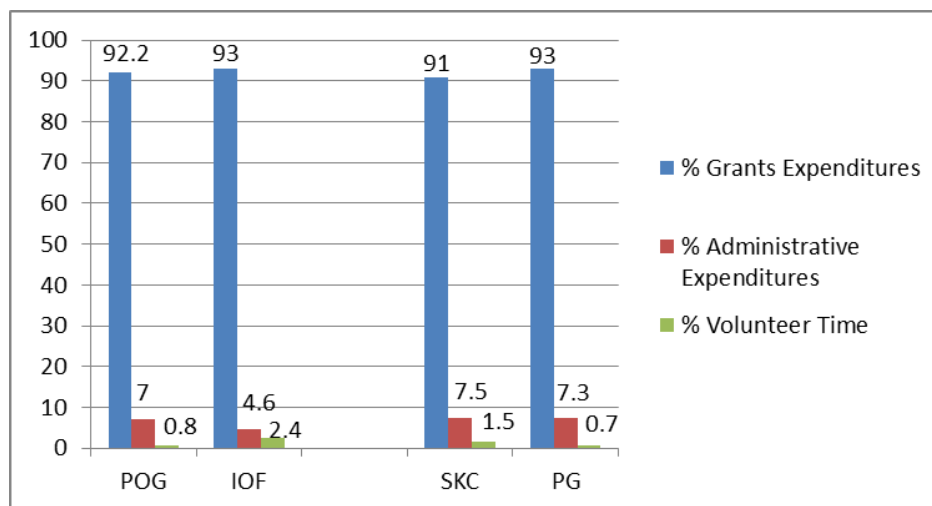
As noted above, compliance with submission of final reports to the funding opportunities studied was highly variable across programs. Only half of KIS final reports had been submitted, and some files contained missing information, including no financial information. For the SKC pilot program, fiscal year application data was not entered in the AMIS database for two-thirds of one year (2004) and the following fiscal year (2005). As final reports contain crucial information on program outcomes including knowledge mobilization, it is clear that these limitations can be a handicap to the organization’s performance management capacity. As well, as noted in the partnerships findings, data showed that partnerships and partners’ contributions evolved over time, but the current information system and organizational practices do not allow updating of fundees’ files after the application phase. This means that crucial outcome information included on the amount of leveraged funding -- a key indicator in the Departmental Performance report – is inaccurate. At some level, this speaks to an incomplete transformation from a granting to a knowledge organization. Finally, the various reporting forms for the programs under study had inconsistencies in categories and reporting requirements. While this is not a problem at the funding opportunity level, it constrains corporate roll-up capacity and creates inefficiencies in dealing with performance information (i.e., “telling the story”).

## 5.2 To what extent have the resources allocated to the KMb funding opportunities been utilized in an efficient manner in producing outputs and progressing towards expected outcomes?

Data from the program cost-efficiency analysis were used to address this question.

The program efficiency analysis included grants and administrative expenditures and the value of volunteer time from 2006-2011. Overall, it was determined that the SKC and POG funding opportunities were delivered in an efficient manner. The ratios of administrative expenditures are small in comparison to grant expenditures. When the value of academics' time for merit review is included in the ratio, a cost-efficiency for SSHRC is apparent (although the cost is still borne by taxpayers, as reviewers are generally salaried by public funds). For SKC & POG, SSHRC disburses approximately \$7.9 in administrative expenditures for every \$100 of grant funds. Efficiency gains were noted when the number of applications received and/or grants awarded increased. Overall, the merit review costs for POG & SKC were calculated to be 1.2% of total program costs and administrative expenditures (see Figure 10). The pattern across the comparison programs is quite similar, with the vast majority of funds spent on grants and much smaller amounts on administrative expenditures and the value of volunteer time.

**Figure 10: Breakdown of total program costs by funding opportunity**



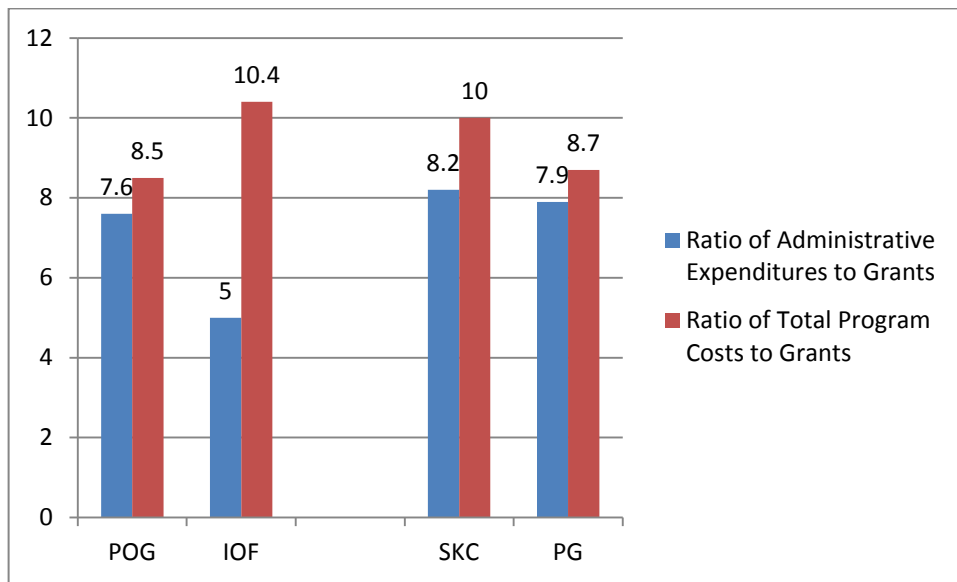
Source: AMIS database, The year in numbers, CSP Division, Administrative data

Figure 11 presents the findings of the comparative assessment of program efficiency for both POG and SKC, and their respective comparators, the International Opportunities Fund (IOF) and Partnerships Grants (PG). For POG and IOF, the program efficiency ratios are noticeably different. After a closer examination of the two funding opportunities, it

appears that a number of differences in the program delivery models can account for this difference. When the value of reviewer time is included in the calculation, the ratio increases dramatically (50%). On further investigation, this can be attributed to the fact that for IOF there are two competitions a year and there were many more applications for this funding opportunity as compared to PG.

For SKC and PG, the program efficiency ratios were similar both with and without the value of reviewer time. When the value of reviewer time is included for SKC, the ratio increased more than it did for PG. This is likely due to the fact that as part of the merit review process, SKCs use both selection committee members and external assessors.

**Figure 11: Compared program efficiency ratios**



Source: AMIS database, The year in numbers, CSP Division, Administrative data

## 6. CONCLUSIONS AND RECOMMENDATIONS

### 6.1 Conclusions

This evaluation aimed to demonstrate the results and impacts of SSHRC's investments in knowledge mobilization, ensuring that SSHRC is meeting the requirements of section 42.1 (1) of the Financial Administration Act and the Treasury Board Secretariat's 2009 *Policy on Evaluation*. To help SSHRC move forward in the context of the new architecture and the 2013-2016 Strategic Plan, the evaluation also aimed to inform SSHRC's thinking and decisions as it enacts further development of knowledge mobilization. The main conclusions from the evaluation are presented below, followed by three recommendations.

#### **Overall progress in embedding knowledge mobilization in SSHRC and its community**

Overall, the evidence provided in this evaluation suggests that, for the social sciences, SSHRC has achieved its strategic objectives for knowledge mobilization, as articulated in the 2009-2011 Knowledge Mobilization Strategy (the humanities are discussed below). The social sciences community is now on the upslope of the adoption curve. The evaluation identified that there were early adopters and champions of KMb among the funding opportunity recipients – individuals, teams and institutions – who have been highly successful in facilitating and enabling the accessibility and impact of research, improving research connections and developing networks, tools and best practices. At the same time, variations were observed in levels of engagement and effectiveness of practice in KMb. Going forward, while it is certainly the case that researchers, teams and institutions will continue to vary in how they embrace the challenges of ensuring effective mobilization of knowledge, the contrast between the leaders and the relative laggards in the community remains striking, especially as it pertains to the development of KMb capacity through research training.

The evaluation data suggest that the concomitant and strategic use of multiple roles, levels and strategies leads to the most effective forms of knowledge mobilization, reaping large gains in terms of research impacts, as well as development of HQP capacity for KMb and the circling back of mobilized knowledge into the research process. Thus, the results of this evaluation tend to support investment through a multi-level approach to penetrate, systematize and institutionalize KMb practice. This points to a need for SSHRC to consider, going forward, a multidimensional approach to supporting KMb development that not only works through grants and awards, but also to develop truly institutional capacity within universities. Parallel to this, there remains work to be done corporately, for example through clearer signals to research institutions about the importance of reducing disincentives for KMb, ensuring that merit review committees are thoroughly

apprised of SSHRC's intents with respect to KMb and that all levels of the organization, from program officers to Council members, are championing the same discourse.

Enabling such a multidimensional approach may require that SSHRC revisit its strategic objectives for knowledge mobilization, as well as its definitions and operationalizations across its communities, and then ensuring that its funding opportunities are aligned with these. The current strategic objectives are:

- facilitating and enabling the accessibility and impact of research by increasing and enhancing the flow of research knowledge among researchers, and between researchers and knowledge users;
- improving research connections by facilitating reciprocal relationships between researchers and knowledge users for the (co-)creation and use of research knowledge; and
- enhancing the quality of knowledge mobilization by developing networks, tools and best practices.<sup>84</sup>

These objectives emphasize connections, partnerships and networks – which the evaluation findings support as a key enabler of KMb -- but state no explicit expectations for research impact. The objectives are thus not fully capturing SSHRC's strategic priority *"Position knowledge and expertise about human thought and behaviour to bring maximal benefits to Canada and the world."*

### **Knowledge mobilization in the humanities**

In part because of the relatively small number of projects funded and the lower participation rates of humanities scholars in three of the four KMb funding opportunities studied, this evaluation provided limited evidence of knowledge mobilization outcomes for the humanities disciplines. As stated earlier in this report, although the scholarly literature about knowledge mobilization in the social sciences has burgeoned during the period under study, there appears to have been less investment and advancement in theory and practice of knowledge mobilization within the humanities disciplines. This observation was also echoed in a recent report published by the Arts and Humanities Research Council in the UK to help address this gap in their evidentiary base.<sup>85</sup>

The Aid to Research Conferences and Workshops, now fully integrated within the Connection Grants funding opportunity, was the only funding opportunity where the humanities disciplines were equally well represented with the social sciences. This legacy

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<sup>84</sup> Social Sciences and Humanities Research Council's Knowledge Mobilization Strategy, 2009-11, retrieved from: [http://www.sshrc-crsh.gc.ca/about-au\\_sujet/publications](http://www.sshrc-crsh.gc.ca/about-au_sujet/publications)

<sup>85</sup> Arts and Humanities Research Council. Leading the World: The Economic Impact of UK Arts and Humanities Research, 2009, retrieved from: <http://www.ahrc.ac.uk/News-and-Events/News/Pages/Leading-the-world-new-report-reveals-international-pre-eminence-of-UK-arts-and-humanities.aspx>

program, initiated in the 1960s by the Canada Council for the Arts, supported traditional scholarly dissemination mostly within academia. Emphasis was placed on face-to-face interactions among researchers and students, with some evidence of networking, knowledge dissemination and uptake (see section 4 of the evaluation report)<sup>86</sup>. As the huge inaugural uptake of the Connection Grants funding opportunity may testify, traditional scholarly dissemination clearly has a continued, important role to play in SSHRC support. However, the evaluation data suggest that it is not yet clear how Connection grants will fit within SSHRC's strategic priority to maximize societal impact of research.

These data, or their lack, raise questions about how KMb is being defined and realized in the humanities. The evaluation findings suggest that SSHRC should now critically explore and reflect upon the extent to which its KMb vision has been fully inclusive of the important role these disciplines can play in informing contemporary and future social, cultural and political debate. SSHRC could for example, take cues from the AHRC's observations that: *"meeting these challenges requires innovative and creative ways of thinking and processes of knowledge generation, transfer and exchange that are distinctive of the arts and humanities. [...] these processes in the arts and humanities are often significantly different from those in other areas of the research base. Nevertheless, the outcomes, [...] can be seen in increased productivity and innovation, human capital, public knowledge and a skilled labour force, policy interventions and innovation in the public sector, and in improvements to the quality of life."*<sup>87</sup>

### **Promotion and championing of KMb skills and tools as part of successful research training**

The evaluation found that commitment to and engagement in formal development of KMb skills as part of research training was highly variable. Over and above the lack of training built into the ARWC grants requirements, case study findings for the two larger funding opportunities showed some missed opportunities for fulsome engagement in developing a next generation of HQP with knowledge mobilization skills and values. On the other hand, some of the case studies were truly exemplars in the mechanisms, tools and supports they created to develop KMb skills, and perhaps more importantly, in the excitement they generated among students about mobilizing knowledge in their future careers. The data indicated that the extent to which this occurred was a function of the principal investigator's vision of knowledge mobilization. The data also showed that students, given opportunities to participate in KMb and even take the wheel in it, were eager and able to do so. If, as the People Advantage and the new Strategic Plan suggest, developing talent for knowledge mobilization should be part of all SSHRC funding, there

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<sup>86</sup> Student training in knowledge mobilization was not addressed within the ARWC Activity Report .

<sup>87</sup> Arts and Humanities Research Council. Leading the World: The Economic Impact of UK Arts and Humanities Research, 2009, retrieved from: <http://www.ahrc.ac.uk/News-and-Events/News/Pages/Leading-the-world-new-report-reveals-international-pre-eminence-of-UK-arts-and-humanities.aspx>

is certainly room for discussion about how to open the door to further KMb training opportunities, notably by influencing investigators' commitment to KMb training for their students.

### **Capacity to document knowledge reach and impact**

This evaluation provided an opportunity to examine the evolution of larger, multi-year grants with reporting requirements at different points in time. These data documented the existence of changes over time in partnerships, funds leveraged, student involvement, projects and ambitions, in ways that were important and meaningful to program outcomes. In order to tell the “story” of these grants – a model that SSHRC has now carried on into Partnerships grants, as well as the longer horizon of Insight grants – data must be collected and kept reliably up to date over time, including but not limited to end-of-grant reporting. It is clear that data collected at milestone and mid-term phases, if it were accessible and robust, could be useful not only for ensuring adequate progress, but also in telling the performance story of the funding opportunity as a whole. This is currently not the case, and speaks to an urgent need for the Evaluation function to engage in consultations with Corporate Strategy and Performance and Programs divisions to develop a more efficient and broadly useful approach.

The case study component of the evaluation demonstrated that SSHRC is currently not equipped to document many of the most important outcomes of these funding opportunities outside of special – and costly – studies such as this evaluation. As partnerships become more and more central to the ways of doing business in social sciences and humanities research, there is clearly an opportunity to advance outcome measurement to capture research uptake and impact that grant recipients cannot self-report and are not incentivized to document.

Moreover, the monitoring tools currently in place may not have been appropriate for the KIS grants, which raise some concerns regarding monitoring and accountability. Although the KIS grants were institution-based, there appeared to be limited evidence of administrative monitoring and follow-up with the concerned institutions. Based on the number of available final reports, there may have been a lack of clarity with respect to who was responsible for completing and submitting the final report (i.e., the principal investigator or the institution). In addition, the lack of documentation for grant extensions influenced the availability of performance monitoring information.

## 6.2 Recommendations

Based on the findings from the evaluation, three recommendations are presented below. The recommendations are framed to be maximally useful to SSHRC management and staff, as well as stakeholders for future program improvements and planning.

### Recommendations

Based on the findings from the evaluation, three recommendations are presented below. The recommendations are framed to be maximally useful to SSHRC management and staff, as well as stakeholders for future program improvements and planning.

#### **Recommendation 1: Further integrate, penetrate and systematize KMB practice by reviewing its strategic objectives for KMB and developing and implementing a renewed Knowledge Mobilization Strategy.**

At this critical point in its history, with a new suite of tools at its disposal to shape the future of SSH research in Canada, SSHRC has an opportunity to consider how it can further support the continued adoption and integration of KMB in its community. As an evolutionary step from the 2009-11 Knowledge Mobilization Strategy and the Knowledge Mobilization Interim Action Plan, the renewed Knowledge Mobilization Strategy should be directly aligned with SSHRC's new Strategic Plan and promote a vision of social sciences and humanities research strongly connected to potential means of maximizing research benefits for society.

- a. In this context, it is recommended that the revised strategic objectives frame more explicit aspirations and expectations for the uptake and impact of SSHRC-generated knowledge, moving beyond fostering access and creating relationships, for example:
  - Facilitate and enable the accessibility and impact of research by increasing and enhancing reciprocal relationships among researchers and knowledge users for the (co-)creation and use of research knowledge; and
  - Strengthen the intellectual, social and economic impact of research to bring maximal benefits to Canada and the world.
- i. These revised strategic objectives (i.e., deliverables) would then form the core of the renewed KMB Strategy. Development of this Strategy should include:
  - Review of the scholarly literature on knowledge mobilization as well as relevant findings from the KMB evaluation, with emphasis on empirical evidence about knowledge mobilization values and best practices including those for institutional capacity development and engagement in knowledge mobilization;



- Thoughtful articulation, aided by literature review and community consultation, of SSHRC’s vision of knowledge mobilization in the humanities. The role of support to workshops and conferences can be examined more critically, to ensure that Connections is stoking SSHRC’s Knowledge Mobilization efforts while support to scholarly dissemination remains strong; and
  - Further documentation and open discussion of barriers against engagement in KMb should be further documented, including disincentives for academics to engage in KMb given current academic reward systems.
- b. In light of the evaluation findings, the renewed Knowledge Mobilization Strategy should aim for an integrated, cohesive and multi-level approach to fostering effective knowledge mobilization. As Greenhalgh et al.<sup>88</sup> would suggest, there is an opportunity for SSHRC to adopt multiple roles to “let it happen, help it happen, and make it happen”. Concretely, this means that SSHRC can use:
- Encouragement, such as corporate positioning and promotion of KMb, use of signals such as the required content about KMb as part of the common CV;
  - Enticement, such as funding opportunities and merit review criteria aiming to support KMb; and
  - Enforcement, such as KMb and KMb training requirements for grant eligibility.
- i. To improve organization-wide cohesion and integration:
- Application requirements, eligibility criteria, evaluation criteria and reporting requirements for grants and awards across and within all SSHRC programs (Connections, Insight and Talent) should be adjusted a) for organization-wide consistency and b) to reflect the KMb strategy and increased emphasis on the importance of knowledge mobilization to non-academic audiences;
  - Funding opportunity design elements should include provision that large multi-year grants should explicitly encourage KMb expertise when hiring staff in order to facilitate engagement in a full range of KMb structures, techniques, tactics and activities;

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<sup>88</sup> Greenhalgh T, et al. (2004). Diffusion of innovations in service organizations: systematic review and recommendations. *The Milbank Quarterly*, 82(4), 581-629.

- Standardized indicators for KMb, aligned with the renewed Knowledge Mobilization Strategy should be embedded within all SSHRC Performance Measurement Strategies; and
  - To signal its importance, KMb should be part of SSHRC Awards. For example, the merit criterion within the existing Connection Impact award for “level of engagement and quality of training and mentoring provided to students, emerging scholars and other highly qualified personnel and participants” could be expanded to explicitly recognize training and mentoring in knowledge mobilization skills within and beyond the academic community.
- c. The evaluation findings also in some ways serve as a reminder that developing a strategy document is not enough: that attention needs to be paid to planfully supporting its implementation, within the organization and in the larger community. The renewed Strategy should also contain an Implementation Plan that includes a communication strategy for SSHRC’s staff and its research community, and capacity development for the key enablers of the strategy for the organization: program staff and merit review committee members.
- i. To support implementation:
- A tool kit should be developed for applicants and merit review committee members, based on best practices that emerged from the evaluation findings as well as the empirical literature, elucidating SSHRC’s goals and providing concrete guidance;
  - Corporate staff and Council should continue to promote SSHRC’s KMb vision, values and aims, in its interactions with the Canadian and international social sciences and humanities research communities and stakeholders; and
  - SSHRC should showcase exemplars and best practices of knowledge mobilization and knowledge mobilization training, including examples of development of institutional capacity through institutional grants and inter-institutional networks.
- d. Finally, the renewed Knowledge Mobilization Strategy should make provision for SSHRC to invest directly in research on KMb through funding opportunities, and to document advances made. Through these, it should provide a forum for leading edge discussion on questions of intellectual property and open access in a knowledge mobilization lens.

**Recommendation 2: Ensure that training in knowledge mobilization is part of all direct and indirect funding opportunities that contribute to the development of HQP.**

- a. This should be a specific, high priority component of the renewed Knowledge Mobilization Strategy. To access broader ranges of career pathways and fully realize the Talent Advantage for Canada, new generations of HQP will require strong skills in knowledge mobilization with both academic and non-academic audiences. The renewed Knowledge Mobilization Strategy should contribute to the development of graduate students' and postdoctoral researchers' skills in new and creative modes of knowledge mobilization and the expansion of their networks within and beyond the academic community. The Strategy should explicitly apply to direct and indirect research training components of Insight, Partnerships and Connections grants, in addition to all Talent funding opportunities, including Tri-agency programs.
- i. It should involve:
  - Presenting clear and harmonized messaging among scholarship, fellowship and grant funding opportunities, that SSHRC-funded or supervised trainees in Insight, Partnerships and Connections grants, as well as Talent awardees, are expected to be acquiring skills for mobilization of knowledge with, and developing networks among, non-academic, research user audiences, as well as academic audiences (where appropriate, based on the type of project). In light of the ongoing tri-agency harmonization project, guidance regarding knowledge mobilization skills and criteria for the CGS Master's scholarships could be standardized across agencies;
  - Ensuring that all merit review processes include criteria for assessing the strength of knowledge mobilization training plans aligned with the renewed KMb Strategy; and
  - In all reporting processes (e.g., future Achievement Reports) requiring information on the extent, nature and outcomes of knowledge mobilization capacity development within and beyond the academic community, and specifically on the KMb skills acquired by trainees through SSHRC direct and indirect research and research training funding.

**Recommendation 3: Develop and implement appropriate and effective systems to monitor and assess intellectual, social and economic impact of research and its benefits to Canada and the world.**

- a. SSHRC is currently unable to easily or routinely document outcomes of knowledge mobilization: there is clearly a need to advance outcome measurement. SSHRC

should therefore ensure that current and new reporting requirements for grants stipulate that funding recipients document the outputs, results and impacts of their knowledge mobilization activities, as well as challenges experienced. This will help position SSHRC to capture and promote the contribution of social sciences and humanities for the benefit of Canadian and international society. This will require that:

- i. Monitoring tools be harmonized across programs, including those that are not using the mainstream web-based systems (e.g., Connection); and in particular, ensuring that end-of grant reporting tools and requirements are in place for Connection Grants (first wave of Connections grants ending in 2013-14) and Strategic Knowledge Clusters (full network grants ending in 2013-14 and 2014-15). This could be used as a pilot opportunity for the Achievement Report as applied to Connection and Partnerships;
  - ii. Performance monitoring tools, procedures, information systems and data entry/data management practices are aligned so as to capture evolution in outputs and outcomes of multi-year grants consistently over time, in a more streamlined and efficient manner. Data collected from grantees and research users/partners at key time-points including applications and milestone, mid-term and achievement reports should also address multiple corporate requirements, including peer review, grant monitoring, performance and evaluation. It was suggested that the future Achievement Report could be used in combination with a 5-10 page narrative component in order to address multiple corporate requirements at the mid-term reporting stage.
- b. In addition, SSHRC should strengthen its capacity to demonstrate knowledge mobilization impacts. This will require that SSHRC develop and implement methods to track and assess longer-term and more distal outcomes of the uptake and application of social sciences and humanities knowledge that grant recipients cannot self-report and are not incentivized to document. To achieve this, SSHRC will need to: collect information in a longer time frame after the end of grant funding; develop systems that allow tracking of direct and indirect influences of knowledge mobilization through networks outside of funded researchers' direct spheres of influence; and collect information from research user partners and other audiences to document knowledge mobilization use and impact.

## Appendix A: Knowledge Mobilization Evaluation Matrix

Evaluation Question	Indicator	Method & Data Source
<b><i>I Relevance and Continued Need</i></b>		
<b>1. Is there a continued need for Knowledge Mobilization funding (now falling under the Connection and Insight programs)?</b>		
1.1 Direct evidence of alignment between the KMb objectives and identified needs of the SSH research community (e.g., universities, researchers, students and practitioners) 1.2 Evidence of continued need for SSHRC to support KMb activities, such as those funded by the SKC, KIS, POG and ARWC 1.3 Evidence of current KMb needs within the Canadian research community compared to those identified ten years ago (pre-2004) 1.4 Opinions on continued relevance of KMb intentions, as captured in Connection program objectives in the current context 1.5 Opinions on potential impact of ending KMb funding	<ul style="list-style-type: none"> <li>• Document review</li> <li>• Key informant interviews</li> <li>• Administrative data review</li> <li>• Case studies</li> </ul>	
<b>2. Does the Knowledge Mobilization strategy continue to be consistent with SSHRC's (e.g., PAA, Strategic Plan) and government-wide priorities?</b>		
2.1 Direct evidence of compatibility/alignment of KMb strategic objectives/expected results with SSHRC's and federal government's current and new priorities 2.2 Evidence of identified need for the federal government to support knowledge mobilization activities that facilitate the flow and exchange of research knowledge, and increase the use of SSH research knowledge 2.3 Evidence of compatibility/alignment of KMb program objectives/expected results with SSHRC's and the federal government's strategic goals	<ul style="list-style-type: none"> <li>• Document review</li> <li>• Key informant interviews</li> </ul>	
<b><i>II Performance - Achievement of Expected Outcomes (Effectiveness)</i></b>		
<b>3. How effectively have SSHRC's funded KMb tools and approaches disseminated research knowledge to academic and non-academic audiences?</b>		
3.1 Breakdown of applications by funding opportunity/grant type/competition year/priority area/regional distribution, and discipline <ul style="list-style-type: none"> <li>• Number and % of awards</li> <li>• Proportion of funded projects completed</li> <li>• Outputs produced by funding opportunity</li> </ul> 3.2 Number and types of tools/approaches produced by project and related grants (e.g., research and other) 3.3 Number of KMb events (e.g., workshops, conferences, symposia, etc.) 3.4 Diversity and frequency of KMb tools/approaches developed 3.5 Quality of tools/approaches produced based on response (i.e., academic and non-academic audiences): a) peer-reviewed; b) prizes/awards; c) student training 3.6 Presence, pertinence and roles of academic and/or non academic partners in activities of KMb programs, compared to current models and leading practices in SSH research 3.7 Evidence of access and uptake, and application of research-based knowledge by main audiences (i.e., receptors) (e.g., contributions, invited presentations, adoption of research findings, media exposure, etc.)	<ul style="list-style-type: none"> <li>• Administrative data review</li> <li>• Document review</li> <li>• Performance data review</li> <li>• Case studies</li> </ul>	

Evaluation Question	Indicator	Method & Data Source
<b>4. How successful were the KMb funding opportunities in promoting and/or developing partnerships, networks, communities of practice and other linkages?</b>		
4.1 Number, type & diversity of partnerships & networks 4.2 Range of audience types (e.g., receptors) per grant/funding opportunity 4.3 Evidence of impact of partnerships and networks on knowledge mobilization outcomes 4.4 Evidence of leveraged funds from partners 4.4.1 Impact of leveraged funds on ability to achieve program objectives 4.6 Views of PIs, partners and research users on perceived success of partnerships & networks 4.6.1 Proportion of researchers and partners indicating their partnership to be quite successful 4.7 Views of PIs, partners and research users: evidence that research users were engaged as partners in KMb 4.8 Views of partners and research users: relevance and effectiveness of KMb tools/approaches 4.9 Evidence of failed or non-initiated partnerships and reasons for them (program design or other) 4.10 Evidence of use (e.g., access, uptake and application) of research-based knowledge (policy, program, practice improvements) 4.11 Extent of contribution of partnerships and linkages to increasing access and uptake of research-based knowledge 4.11.1 Proportion of targeted audiences who claim use of SSH research at least to “some extent” 4.11.2 Proportion of targeted audiences who claim use of SSH research at least to “some extent”	<ul style="list-style-type: none"> <li>● Document review</li> <li>● Administrative data review</li> <li>● Performance data review</li> <li>● Case studies</li> </ul>	
<b>5. How successfully did the KMb funding opportunities develop capacity in highly qualified personnel and students in the area of knowledge mobilization?</b>		
5.1 Number and type of individuals (students, postdocs, others) involved in KMb funded projects 5.2 Number and type of training mechanisms developed for students and HQP and evidence of potential and demonstrated reach 5.3 Evidence of nature and intensity of student involvement in acquiring knowledge and KMb skills 5.4 Evidence of use of students’ acquired KMb skills 5.5 Views of students on the impact of their involvement in SSHRC-funded KMb projects	<ul style="list-style-type: none"> <li>● Document review</li> <li>● Performance data review</li> <li>● Case studies</li> </ul>	
<b>6. To what extent have the KMb funding opportunities resulted in awareness and intended uptake of research-based knowledge by organizations and/or potential research users in the academic, public, private and not-for-profit sectors?</b>		
6.1 Examples of impacts on awareness and intended uptake of research-based knowledge 6.2 Examples of impacts: success stories and facilitating factors 6.3 Examples of best practices and success factors (e.g., lessons learned)	<ul style="list-style-type: none"> <li>● Performance data review</li> <li>● Case studies</li> </ul>	

Evaluation Question	Indicator	Method & Data Source
<b>7. What unintended outcomes are being achieved?</b>		
7.1 Presence and type of unintended positive and negative outcomes 7.2 Views of PIs, partners and research users – comparison of planned versus actual outcomes, including what elements of KMb activities and results contributed to the differences	<ul style="list-style-type: none"> <li>• All data sources</li> </ul>	
<b><i>Performance – Efficiency and Economy</i></b>		
<b>8. To what extent is the design and delivery (approach and capacity) of the KMb funding opportunities conducive to achieving expected outcomes (immediate, intermediate and long-term)?</b>		
8.1 Lessons learned and best practices 8.2 Strengths, weaknesses and potential improvements to funding opportunities' delivery model 8.3 Feedback on the effectiveness of program delivery (e.g., applications, peer review, post-award, etc.)	<ul style="list-style-type: none"> <li>• Document review</li> <li>• Performance data review</li> <li>• Key informant interviews</li> </ul>	
<b>9. To what extent have the resources allocated to the KMb funding opportunities been utilized in an efficient and economical manner in producing outputs and progressing towards expected outcomes?</b>		
9.1 Ratio (%) of SSHRC operating expenditures on grant funds awarded for KMb (i.e., years 2009-2011) 9.2 Comparison with existing ratios with equivalent SSHRC programs (e.g., Partnerships Grants, IOF)	<ul style="list-style-type: none"> <li>• Administrative data review</li> <li>• Cost-efficiency analysis</li> </ul>	