

BMJ Open Does the engagement of clinicians and organisations in research improve healthcare performance: a three-stage review

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ABSTRACT

Objective: There is a widely held assumption that engagement by clinicians and healthcare organisations in research improves healthcare performance at various levels, but little direct empirical evidence has previously been collated. The objective of this study was to address the question: Does research engagement (by clinicians and organisations) improve healthcare performance?

Methods: An hourglass-shaped review was developed, consisting of three stages: (1) a planning and mapping stage; (2) a focused review concentrating on the core question of whether or not research engagement improves healthcare performance; and (3) a wider (but less systematic) review of papers identified during the two earlier stages, focusing on mechanisms.

Results: Of the 33 papers included in the focused review, 28 identified improvements in health services performance. Seven out of these papers reported some improvement in health outcomes, with others reporting improved processes of care. The wider review demonstrated that mechanisms such as collaborative and action research can encourage some progress along the pathway from research engagement towards improved healthcare performance. Organisations that have deliberately integrated the research function into organisational structures demonstrate how research engagement can, among other factors, contribute to improved healthcare performance.

Conclusions: Current evidence suggests that there is an association between the engagement of individuals and healthcare organisations in research and improvements in healthcare performance. The mechanisms through which research engagement might improve healthcare performance overlap and rarely act in isolation, and their effectiveness often depends on the context in which they operate.

BACKGROUND

There is a widely held assumption that engagement by clinicians and healthcare organisations in research improves

Strengths and limitations of this study

- This review brings together for the first time a diverse body of literature addressing whether engaging clinicians and healthcare organisations in research is the likely to improve healthcare performance.
- It also explores the mechanisms through which improvement is achieved to try and understand how any improvements might come about.
- However, it relies on the quality and coverage of the existing literature.
- It is an extremely complex topic, but nonetheless one worthy of further exploration, particularly given the pressure to justify research spending in healthcare systems, and to encourage its implementation.

healthcare performance at various levels,^{1 2} but little direct empirical evidence has previously been collated. A previous review (published in 2011) looked at the effects on patients of their healthcare practitioner's or organisation's participation in clinical trials.³ It identified 13 papers and suggested that the evidence to support a positive association was less strong than previously thought. Another paper, published in the same year, reported that participants at an international workshop held in 2009 had also concluded that the literature on the impact of research activity on the quality of healthcare outcomes within research-active institutions and healthcare systems in general was not extensive.⁴

This current paper reports on a literature review conducted to map and explore plausible mechanisms through which research engagement might improve healthcare performance at clinician or organisational level. The review addressed the question, "Does research engagement by clinicians and organisations improve healthcare performance?", and also sought to identify the mechanisms that might be involved. Despite the obvious

overlaps, this question is different from that of whether individual patients benefit from trial participation on which the 2009 workshop also commented, concluding that on this second issue there was, in contrast, a 'substantial literature' but still, nonetheless, a lack of conclusive evidence.⁴

Theoretical context

Numerous theoretical perspectives have a bearing on our research question. For example, research engagement has been conceptualised as a way of increasing the ability and willingness of various groups of stakeholders to use research. This includes the theory of absorptive capacity, which seeks to explain how conducting research and development (R&D) within an organisation can help that organisation develop and maintain its broader capabilities to assimilate and exploit externally available information from research.⁵ There is also literature focusing on the characteristics of individual research adopters,^{6 7} and work on clinical leadership and the role of medical academics.⁸

Other bodies of relevant theory seek to underpin efforts to explore how better co-ordination of research engagement might enhance the effectiveness of research, including the development of research networks^{9 10} and initiatives designed to re-shape relations between clinical research and healthcare delivery systems such as the NIH Road Map in the USA,¹¹ the NIHR Collaborations for Leadership in Applied Health Research and Care (CLAHRCs)¹² and the Academic Health Science Networks¹³ in the UK, and similar developments in other countries.^{14 15} Research engagement has also been conceptualised as a way of ensuring that research is used to improve the healthcare system, drawing on theories of collaboration including the influential concept of 'linkage and exchange'.¹⁶ Denis and Lomas describe 'four distinct, but clearly related academic traditions' that converge on collaborative research¹⁷ including: action research;¹⁸ participatory research;¹⁹ programme evaluation; and knowledge-utilisation research.

Finally, commentators have sought to explain how research engagement at an organisational level can improve the performance of healthcare organisations, drawing on the theoretical approaches that have underpinned efforts to improve organisational performance in healthcare and enhance the design and use of performance management systems. There are well-established literatures on promoting learning organisations, adopting an organisational approach to quality improvement (QI) and knowledge mobilisation.

However while these various literatures provide insights into the review question and pointers to the mechanisms through which research engagement might improve outcomes, the component papers and the reviews based on them do not, by and large, directly consider the benefits of research engagement. Furthermore, until recently research activity was not

generally included in the measures used to assess the performance of healthcare organisations, the focus was on measures of activity and cost.²⁰

Scope of the review

Given this wide literature, the scope of the review was carefully considered. Its focus was on studies of practitioner or organisational engagement in research, and the objective was to explore the whole pathway from research engagement to healthcare performance. With this in mind:

- ▶ 'Engagement in research' was taken to mean a deliberate set of intellectual and practical activities undertaken by healthcare staff (including conducting research and playing an active role in the whole research cycle) and organisations (including playing an active role in research networks, partnerships or collaborations and ensuring the research function is fully integrated into organisational structures). In essence we therefore equated engagement in research with participation in research throughout the research cycle, and this understanding was reflected in the search terms we used in the focused review (see online additional file 1). We noted, however, that the terms 'engagement in research' and 'engagement with research' are sometimes used interchangeably in the literature. At the start of our review we therefore explored how far a broader definition of research engagement could also include engagement *with* research, taking this term to mean a less substantial involvement at individual and team level related to receiving and transmitting the findings of research. This could include aspects of activities such as continuing medical education (CME), attempts to persuade clinicians to adopt guidelines, and knowledge mobilisation more generally. However, such efforts often focus on encouraging research utilisation alone, and not on research utilisation as an integral phase in the whole research cycle. Given the fact that our brief was to explore the whole pathway from research engagement to healthcare performance, we finally decided to concentrate our resources on the interpretation of research engagement as 'engagement *in* research', in the sense given above. We also decided that the scope of our review was already too wide to include the slightly separate although equally important topic of whether or not engaging the public and patients as partners in research improved healthcare performance.
- ▶ 'Healthcare performance' was understood to reflect the consequences of clinical activity, and was primarily taken to mean improvements in the processes and outcomes of care, rather than other measures of healthcare performance such as efficiency.
- ▶ 'Mechanisms' were seen in relatively simple terms as levers that instigate and sustain activity, for example, research collaborations between researchers and healthcare staff who are potential users of the findings.

METHODS

An 'hourglass' review was undertaken that consisted of three stages: (1) a broad mapping exercise exploring a large number of bodies of literature that might contain empirical evidence relating to the question and any mechanisms and theoretical perspectives that might be relevant; (2) a focused (or formal) review that concentrated on the core question of whether or not research engagement improves healthcare; and (3) a wider (but less systematic) review of papers identified during the two earlier stages that were relevant to the review question, and included many papers that did not meet the inclusion criteria for the focused review. The hourglass shape refers to the scope of the analysis at each stage, and to the number of papers considered in detail; in terms of the volume of titles and abstracts processed, the throughput of the review was greatest in the second stage (figure 1). A more detailed account of the review approach is available (see online additional file 2) The PRISMA checklist for reporting systematic reviews was followed as far as was feasible.²¹ Ethical approval was obtained from Brunel University's Research Ethics Committee.

Stage 1: Planning and mapping

The review team drew on their existing knowledge, initial scans of potentially relevant literatures, team meetings and brainstorming sessions, and on the knowledge and experience of an advisory group of international experts and patient representatives. The latter provided input (largely by email) on the methods used in the review, the literature identified and the findings emerging from the synthesis. This mapping exercise explored the major theoretical approaches that could, potentially, inform the conduct of the review and help to build a framework

within which to identify and analyse the mechanisms through which engagement in research can improve healthcare performance. It also informed the choice of the search terms used in Stage 2.

Stage 2: Focused review

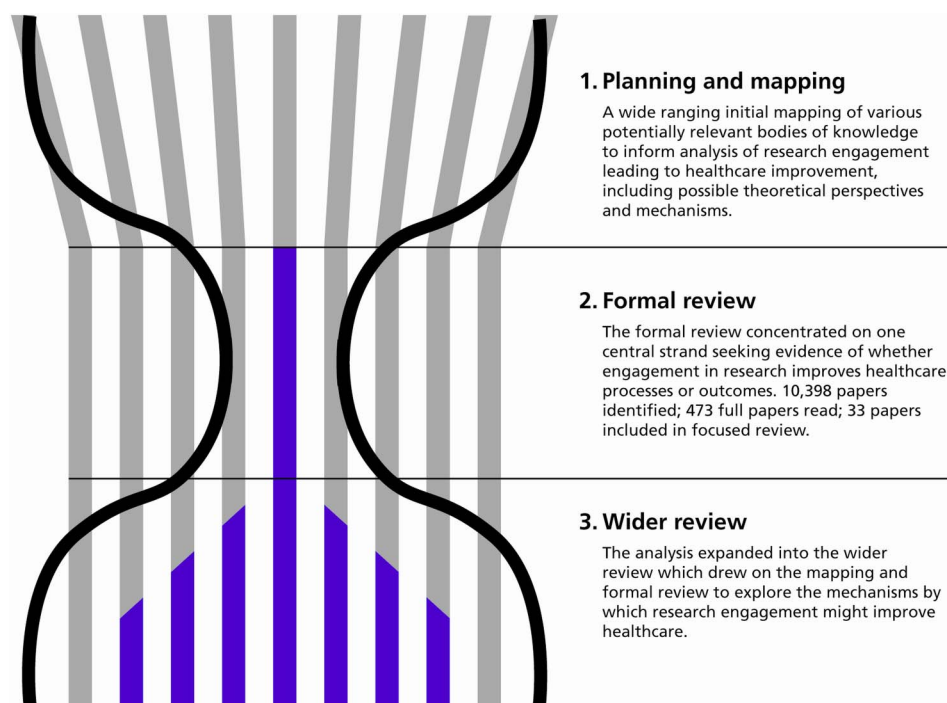
The search strategy involved a comprehensive search of a wide range of relevant databases and sought to identify empirical research studies (not limited to clinical trials)—in which the concept of 'engagement in research' was an input and some measure of healthcare 'performance' was an output (see figure 2; and see online additional file 1). The search strategy covered the period 1990 to March 2012. MEDLINE, EMBASE, PsycINFO, Cumulative Index to Nursing and Allied Health Literature (CINAHL), Web of Science, Applied Social Sciences Index and Abstracts (ASSIA), British Nursing Index, Health Management Information Consortium (HMIC) and System for Information on Grey Literature in Europe (SIGLE) databases were searched. The database searches were supplemented by manual searching five journals that specialise in this area, by papers suggested by the advisory group, and by snowballing. English language terms were used for searching, although papers identified through this route that were not published in English were considered for inclusion.

The database searches identified 10 239 papers, and 159 were identified from other sources. The searches were conducted by an information scientist, Sarah Jeal advised by Sarah Lawson (a senior information scientist at King's College London), working closely with the review team.

The focused review involved an initial examination of the title of each paper (and the abstract when necessary) to exclude documents that were clearly not

Figure 1 The hourglass shaped three-stage review.

Source: Hanney, Boaz, Jones, Soper (2013).²³



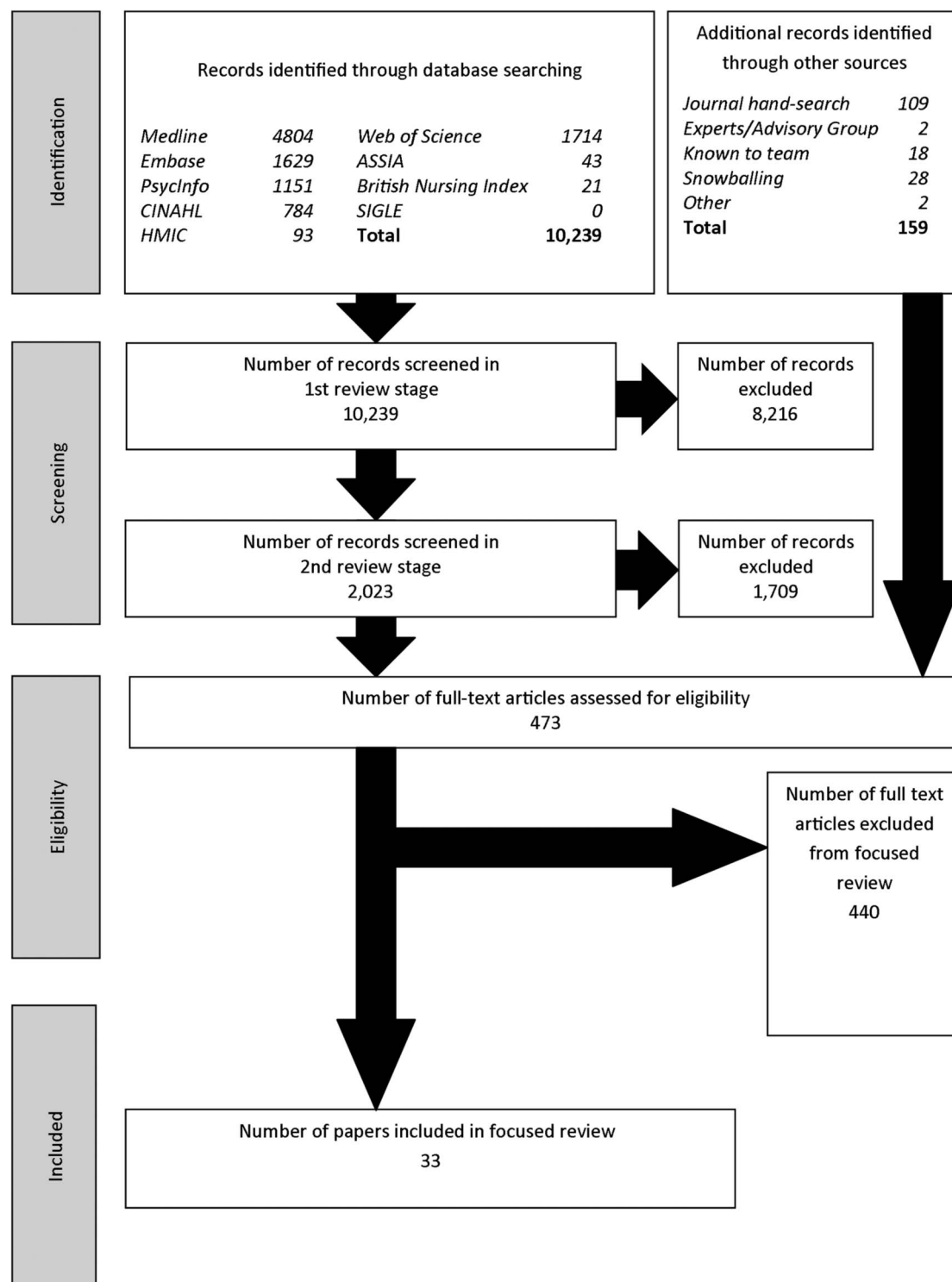


Figure 2 Flow diagram of the literature search for the focused review. Source: Hanney, Boaz, Jones, Soper (2013).²³

relevant. Two or more reviewers then studied the titles and full abstracts in greater depth to assess the eligibility of each paper. Further relevance and quality checks on 473 papers were undertaken to determine whether or not they were suitable to proceed to the data extraction stage. We undertook an initial (broad) test for quality by applying the Dixon-Woods 'fatally flawed' test.²² This applies the following questions:

- ▶ Are the aims and objectives of the research clearly stated?
- ▶ Is the research design clearly specified and appropriate for the aims and objectives of the research?
- ▶ Do the researchers provide a clear account of the process by which their findings were reproduced?
- ▶ Do the researchers display enough data to support their interpretations and conclusions?

- Is the method of analysis appropriate and adequately explicated?

The diversity of methods used in the papers meant that no one quality appraisal tool could be rigidly applied to all papers. The second quality check was, therefore, method specific:

- For RCTs, controlled before and after studies and for qualitative studies we used the relevant checklist provided by the Critical Appraisal Skills Programme (CASP—see: <http://www.casp-uk.net/#!/checklists/cb36>).
- For surveys we used the critical appraisal checklist developed by the Centre for Evidence-based Management (see: <http://www.cebma.org/wp-content/uploads/Critical-Appraisal-Questions-for-a-Survey.pdf>). This is an approach adapted from a number of existing tools, including: The Pocket Guide to Critical Appraisal (BMJ Books 1996); the BMJ editor's checklists (<http://www.bmj.com/about-bmj/resources-authors/article-types/research/editors-checklists>) and the checklists of the Evidence for Policy and Practice Information and Co-ordinating Centre (<https://eppi.ioe.ac.uk/cms>).

The quality of the papers was considered as part of an integrated assessment described as the 'importance' dimension discussed below. This was assessed through the quality of the paper, the size of the study and relevance to the focused review question.

Analysis

A heterogeneous mix of papers was identified and a standard meta-analysis was not possible. This review involved, therefore, an interpretive rather than an aggregative synthesis.^{22 23} A data extraction sheet was completed for each paper and key aspects of the included studies were collated in a table (table 1). To facilitate analysis, a matrix was developed to characterise the circumstances in which research engagement might improve healthcare performance and the mechanisms that might be at work.

This matrix identified two dimensions: the degree of intentionality and the scope of impact. Least intentionality was when the improvement in healthcare performance resulting from engagement in research was a by-product of research that was conducted with the primary aim of testing a specific therapy or approach. Greatest intentionality was when there was an explicit intention to produce improvements in healthcare performance as a direct consequence of research engagement by healthcare staff through interventions such as collaborations, participatory research and/or organisational approaches. Research networks were considered to be in the middle of this spectrum.

Impact is generally defined as a 'strong effect or influence',²⁴ and it was in this sense that the impact of engagement in research was discussed in the focused review papers—the majority of which sought evidence of a positive association between research engagement and improved healthcare outcomes or processes. Two

categories of the scope of impact were identified, broader and specific. Broader impact referred to those who had engaged in research being more willing and/or able to provide evidence-based care that was based on relevant research conducted anywhere, and that was not related to the specific findings of the research in which they were engaged. Specific impact referred to those who had engaged in research being more willing and/or able to provide evidence-based care that was related to the specific findings of the research in which they were engaged.

Each paper that reached the final data extraction step was analysed using this matrix, and also in relation to:

- Importance of the paper to the review. This was based on quality (including, where appropriate, how well controlled the study was), size of the study and relevance to the review question.
- Whether the findings of the paper were positive or negative in relation to the review question (ie, positive if they showed research engagement did improve healthcare, and negative if not). Within each group some were also classified as mixed.
- The level of engagement discussed (clinician or organisational).

Stage 3: Wider review

The final stage was an informal wider review. This was intended to support the findings of the focused review and explore the mechanisms through which research engagement might improve healthcare, building on relevant theories. All the 440 papers excluded at the full-paper review stage of the focused review were considered for this wider review, plus others identified during the mapping stage and ongoing snowballing exercises. Relevance was determined in relation to the theoretical approaches outlined above and the review team's emerging understanding of the mechanisms involved.

RESULTS

Results of the focused review

Table 1 summarises the characteristics of the 33 papers that were included in the focused review. The papers covered 15 clinical fields, including 10 cancer research papers and 6 cardiovascular studies. The papers came from 9 countries, with nearly half (15) from the US and another 5 from Canada.

Degree of intentionality: There were 21 by-product papers (least intentionality), 8 network papers (mid-range intentionality) and 4 intervention papers (greatest intentionality). The focused review papers presented in table 1 are organised according to this dimension.

Importance: Fourteen papers were identified as important and 19 less important in terms of their contribution to the focused review question. The papers identified as important are starred in table 1.

Level of engagement: The ratio of organisational to clinician studies in the by-product and network categories

Table 1 Findings from the focused review

Author(s) and details of paper	Date	Clinical area or procedure	Country	Level of study	Impact	Finding	Improvement identified
By-product papers							
Adler MW. Changes in local clinical practice following an experiment in medical care: evaluation of evaluation. <i>J Epidemiol Community Health</i> 1978;32:143–6. http://dx.doi.org/10.1136/jech.32.2.143	1978	Inguinal hernia and varicose veins	UK	O	S	+	P
Andersen M, Kragstrup J, Sondergaard J. How conducting a clinical trial affects physicians' guideline adherence and drug preferences. <i>JAMA</i> 2006;295:2759–64. http://dx.doi.org/10.1001/jama.295.23.2759 *	2006	Asthma	Denmark	O	S	-	P
Chen AY, Schrag N, Hao Y, Flanders WD, Kepner J, Stewart A, <i>et al.</i> Changes in treatment of advanced laryngeal cancer 1985–2001. <i>Otolaryngol Head Neck Surg</i> 2006;135:831–7. http://dx.doi.org/10.1016/j.otohns.2006.07.012	2006	Cancer (laryngeal)	US	O	B	+	P
Clark WF, Garg AX, Blake PG, Rock GA, Heidenheim AP, Sackett DL. Effect of awareness of a randomized controlled trial on use of experimental therapy. <i>JAMA</i> 2003;290:1351–5. http://dx.doi.org/10.1001/jama.290.10.1351	2003	Apheresis	Canada	C	S?	M -	P
Das D, Ishaq S, Harrison R, Kosuri K, Harper E, Decaestecker J, <i>et al.</i> Management of Barrett's esophagus in the UK: overtreated and underbiopsied but improved by the introduction of a national randomised trial. <i>Am J Gastroenterol</i> 2008;103:1079–89. http://dx.doi.org/10.1111/j.1572-0241.2008.01790.x	2008	Barratt's oesophagus	UK	C	S	+	P
du Bois A, Rochon J, Lamparter C, PFisterer J, and for the Organkommission OVAR. Pattern of care and impact of participation in clinical studies on the outcome in ovarian cancer. <i>Int J Gynecol Cancer</i> 2005;15:183–91*	2005	Ovarian cancer	Germany	O	B	+	HO
Hébert-Croteau N, Brisson J, Latreille J, Blanchette C, Deschenes L. Variations in the treatment of early-stage breast cancer in Quebec between 1988 and 1994. <i>CMAJ</i> 1999;161:951–5	1999	Breast cancer	Canada	O	B	+	P
Janni W, Kiechle M, Sommer H, Rack B, Gauger K, Heinrigs M, <i>et al.</i> Study participation improves treatment strategies and individual patient care in participating centers. <i>Anticancer Res</i> 2006;26:3661–7. http://dx.doi.org/10.1016/S0960-9776(05)80107-9	2006	Breast cancer	Germany	O	S	+	P
Jha P, Deboer D, Sykora K, Naylor CD. Characteristics and mortality outcomes of thrombolysis trial participants and nonparticipants: a population-based comparison. <i>J Am Coll Cardiol</i> 1996;27:1335–42. http://dx.doi.org/10.1016/0735-1097(96)00018-6	1996	AMI	Canada	O	S	M+	HO
Jones B, Ratzer E, Clark J, Zeren F, Haun W. Does peer-reviewed publication change the habits of surgeons? <i>Am J Surg</i> 2000;180:566–9. http://dx.doi.org/10.1016/S0002-9610(00)00495-5	2000	Appendectomy	US	C	S	-	P
Karjalainen S, Palva I. Do treatment protocols improve end results? A study of survival of patients with multiple myeloma in Finland. <i>BMJ</i> 1989;299:1069–72. http://dx.doi.org/10.1136/bmj.299.6707.1069	1989	Leucaemia	Finland	O	S	+	HO

Continued

Table 1 Continued

Author(s) and details of paper	Date	Clinical area or procedure	Country	Level of study	Impact	Finding	Improvement identified
Kizer JR, Cannon CP, McCabe CH, Mueller HS, Schweiger MJ, Davis VG, <i>et al.</i> Trends in the use of pharmacotherapies for acute myocardial infarction among physicians who design and/or implement randomized trials vs physicians in routine clinical practice: the MILIS-TIMI experience. Multicenter investigation on limitation of infarct size. <i>Am Heart J</i> 1999;137:79–92	1999	AMI	US	C	B	+	P
Majumdar SR, Chang W-C, Armstrong PW. Do the investigative sites that take part in a positive clinical trial translate that evidence into practice? <i>Am J Med</i> 2002;113:140–5. http://dx.doi.org/10.1016/S0002-9343(02)01166-X *	2002	AMI	Canada	O	S	-	P
Majumdar SR, Roe MT, Peterson ED, Chen AY, Gibler WB, Armstrong PW. Better outcomes for patients treated at hospitals that participate in clinical trials. <i>Arch Intern Med</i> 2008;168:657–62. http://dx.doi.org/10.1001/archinternmed.2007.124 *	2008	Unstable angina	US	O	B	+	HO
Meineche-Schmidt V, Hvenegaard A, Juhl HH. Participation in a clinical trial influences the future management of patients with gastro-oesophageal reflux disease in general practice. <i>Aliment Pharmacol Ther</i> 2006;24:1117–25. http://dx.doi.org/10.1111/j.1365-2036.2006.03046.x *	2006	Gastro-oesophageal reflux	Denmark	C	S	+	P
Morton AN, Bradshaw CS, Fairley CK. Changes in the diagnosis and management of bacterial vaginosis following clinical research. <i>Sex Health</i> 2006;3:183–5. http://dx.doi.org/10.1071/SH06024	2006	Sexual health	Australia	C	S	M+	P
Pancorbo-Hidalgo PL, Garcia-Fernandez FP, Lopez-Medina IM, Lopez-Ortega J. Pressure ulcer care in Spain: nurses' knowledge and clinical practice. <i>J Adv Nurs</i> 2007;58:327–38. http://dx.doi.org/10.1111/j.1365-2648.2007.04236.x *	2006	Pressure ulcer	Spain	C	B	+	P
Pons J, Sais C, Illa C, Méndez R, Suñen E, Casas M, <i>et al.</i> Is there an association between the quality of hospitals' research and their quality of care? <i>J Health Serv Res Policy</i> 2010;15:204–9. http://dx.doi.org/10.1258/jhsrp.2010.009125 *	2010	AMI	Spain	O	B	+	HO
Rich AL, Tata LJ, Free CM, Stanley RA, Peake MD, Baldwin DR, <i>et al.</i> How do patient and hospital features influence outcomes in small-cell lung cancer in England? <i>Br J Cancer</i> 2011;105:746–52. http://dx.doi.org/10.1038/bjc.2011.310 *	2011	Small cell lung cancer	UK	O	B	M+	P
Rochon J, du Bois A. Clinical research in epithelial ovarian cancer and patients' outcome. <i>Ann Oncol</i> 2011;22(Suppl. 7):vii16–19. http://dx.doi.org/10.1093/annonc/mdr421 *	2011	Ovarian cancer	Germany	O	B	+	HO
Salbach NM, Guilcher SJ, Jaglal SB, Davis DA. Determinants of research use in clinical decision making among physical therapists providing services post-stroke: a cross-sectional study. <i>Implementation Sci</i> 2010;5:77. http://dx.doi.org/10.1186/1748-5908-5-77	2010	Stroke	Canada	C	B	+	P

Continued

Table 1 Continued

Author(s) and details of paper	Date	Clinical area or procedure	Country	Level of study	Impact	Finding	Improvement identified
Network papers							
Abraham AJ, Knudsen HK, Rothrauff TC, Roman PM. The adoption of alcohol pharmacotherapies in the Clinical Trials Network: the influence of research network participation. <i>J Subst Abuse Treat</i> 2010;38:275–83. http://dx.doi.org/10.1016/j.jsat.2010.01.003 *	2010	Alcohol-use disorders	US	O	B	+	P
Carpenter WR, Reeder-Hayes K, Bainbridge J, Meyer A-M, Amos KD, Weiner BJ, <i>et al.</i> The role of organizational affiliations and research networks in the diffusion of breast cancer treatment innovation. <i>Med Care</i> 2011;49:172–9. http://dx.doi.org/10.1097/MLR.0b013e3182028ff2 *	2011	Breast cancer	US	O	B	+	P
Ducharme LJ, Knudsen HK, Roman PM, Johnson JA. Innovation adoption in substance abuse treatment: exposure, trialability, and the Clinical Trials Network. <i>J Subst Abuse Treat</i> 2007;32:321–9. http://dx.doi.org/10.1016/j.jsat.2006.05.021 *	2007	Substance abuse	US	O	S	M+	P
Knudsen HK, Abraham AJ, Johnson JA, Roman PM. Buprenorphine adoption in the National Drug Abuse Treatment Clinical Trials Network. <i>J Subst Abuse Treat</i> 2009;37:307–12. http://dx.doi.org/10.1016/j.jsat.2008.12.004 *	2009	Substance abuse	US	O	S	+	P
Laliberte L, Fennell ML, Papandonatos G. The relationship of membership in research networks to compliance with treatment guidelines for early-stage breast cancer. <i>Med Care</i> 2005;43:471–9. http://dx.doi.org/10.1097/01.mlr.0000160416.66188.f5 *	2005	Breast cancer	US	O	B	+	P
Rhyne R, Sussman AL, Fernald D, Weller N, Daniels E, Williams RL, <i>et al.</i> Reports of persistent change in the clinical encounter following research participation: a report from the Primary Care Multiethnic Network (PRIME Net). <i>J Am Board Fam Med</i> 2011;24:496–502. http://dx.doi.org/10.3122/jabfm.2011.05.100295	2011	Acanthosis Nigricans	US	C	S	+	P
Siegel RM, Bien J, Lichtenstein P, Davis J, Khoury JC, Knight JE, <i>et al.</i> A safety-net antibiotic prescription for otitis media: the effects of a PBRN study on patients and practitioners. <i>Clin Pediatr</i> 2006;45:518–24. http://dx.doi.org/10.1177/0009922806290567	2006	Otitis media	US	C	S	+	P
Warnecke R, Johnson T, Kaluzny A, Ford L. The community clinical oncology program: its effect on clinical practice. <i>J Qual Improv</i> 1995;21:336–9.	1995	Breast cancer	US	C	S	+	P
Intervention papers							
Chaney EF, Rubenstein LV, Liu C-F, Yano EM, Bolkan C, Lee M, <i>et al.</i> Implementing collaborative care for depression treatment in primary care: a cluster randomized evaluation of a quality improvement practice redesign. <i>Implement Sci</i> 2011;6:121. http://dx.doi.org/10.1186/1748-5908-6-121	2011	Depression	US	O	S	M+	P

Continued

Table 1 Continued

Author(s) and details of paper	Date	Clinical area or procedure	Country	Level of study	Impact	Finding	Improvement identified
Goldberg HI, Neighbor WE, Hirsch IB, Cheadle AD, Ramsey SD, Gore E. Evidence-based management: using serial firm trials to improve diabetes care quality. Joint Commission J Qual Improvement 2002;28:155–66	2002	Diabetes	US	O	S	M -	P
Hall C, Sigford B, Sayer N. Practice changes associated with the Department of Veterans Affairs' Family Care Collaborative. J Gen Int Med 2010;25(Suppl. 1):18–26. http://dx.doi.org/10.1007/s11606-009-1125-3	2010	Rehab for war veterans	US	O	S	+	P
Puoane T, Sanders D, Ashworth A, Chopra M, Strasser S, McCoy D. Improving the hospital management of malnourished children by participatory research. Int J Qual Health Care 2004;16:31–40. http://dx.doi.org/10.1093/intqhc/mzh002	2004	Malnourishment in children	S Africa	O	S	M+	HO

*Paper that made an important contribution to the review (in terms of relevance, quality and size).
 –, negative; +, positive; B, broader; C, clinicians; HO, health outcomes; M, mixed; O, organisations; P, processes of care; S, specific.
 Adapted from Hanney, Boaz, Jones, Soper (2013)²³.

was approximately the same (13v8; 5v3). In contrast, all the intervention studies were at the organisational level. In total, 22 papers were at the organisational level, of which 19 were positive; and 11 at the clinician level, of which 9 were positive.

Positive papers: A majority of the papers (28) were positive with regard to whether research engagement improved healthcare performance. However, only a minority of the positive cases (7 out of 28) reported improved health outcomes, the remainder reported improved (usually more evidence-based) processes of care. Among the papers reporting improved health outcomes, two German studies explored the association between hospital trial participation and processes and outcomes such as the use of guideline-indicated care and in-hospital mortality for patients with ovarian cancer. These studies found that overall survival was significantly worse in patients treated in non-study hospitals.^{25 26} Similarly, patients treated for unstable angina in US hospitals participating in clinical trials were found to have significantly lower mortality than those treated in non-participating hospitals,²⁷ and a Spanish study of the relationship between bibliometric measures of research output in acute hospitals and hospital mortality for two common cardiac conditions found a low-to-moderate negative correlation between the risk-adjusted mortality ratio and the weighted citations ratio.²⁸

Among the papers reporting improvements in the processes of care, a UK study of patients with small-cell lung cancer concluded that patients first seen at a hospital with a keen interest in clinical trials are more likely to receive chemotherapy,²⁹ and two US studies of patients treated for breast cancer at facilities that were members of cancer research networks found that they were more likely to receive guideline-concordant treatment or be given innovative treatment offering promise.^{30 31} This latter finding about the positive influence of involvement in research networks on organisational innovation was also confirmed in three US studies on alcohol and substance abuse.^{32–34}

Impact: Taken together, the papers were divided almost equally into those with a broader impact on healthcare performance (16) and those with a more specific impact (17) (although all the intervention studies described a specific impact). Within this overall balance, 13 of the 28 positive studies described a broader impact and these included 10 out of the 17 positive by-product studies.

Results of the wider review

More than 80 papers included in the wider review reported on studies that illustrated some progress along the pathway from research engagement to improved healthcare (but that had not gone far enough to be included in the focused review). The wider review provided further evidence to support the findings of the focused review about the nature of the relationship between research engagement and healthcare outcomes,

the mechanisms involved and the role of the context provided by health organisations and systems.

DISCUSSION

Overall on the basis of the analysis of the papers in the focused review, it is reasonable to suggest that when clinicians and healthcare organisations engage in research there is the likelihood of improvement in their healthcare performance, even when that has not been the primary aim of the research. This evidence related mainly, though not exclusively, to improvement in the processes of care rather than in health outcomes.

What these findings indicate about the mechanisms involved

The 21 ‘by-product’ papers with the degree of least intentionality constituted the largest group in the focused review (see [table 2](#)). In these papers the main purpose of the original research engagement (by clinicians or organisations) was to conduct or participate in research studies to evaluate new therapies, procedures, etc. The by-product papers were separate studies, usually conducted later, that explored the impact on healthcare that had arisen as ‘by-products’ of the research engagement in the original study and sometimes analysed, or speculated about, what might have caused this impact. In the sense used in this review, the term ‘by product’ is therefore in some circumstances associated with the concept of ‘absorptive capacity’. There were 17 positive ‘by-product’ papers, 10 reporting a broad impact (the use of research findings from wherever they come) and 7 reporting a more specific impact (use of research findings from a specific study in which the research engagement occurs). The discussions in these papers suggest that at clinician and organisational levels different mechanisms—such as changes in clinicians’ attitudes and behaviour or the long-term use of infrastructure created to support a particular trial—may be at play (see [table 2](#)).

The second largest group of papers in the focused review was the eight network papers, which described the situation broadly in the middle of the spectrum of intentionality. All these papers came from the US, reflecting the more established nature of formal research networks in the USA, and also an approach to evaluation that is consistent with the inclusion criteria used for the focused review. All the network papers were positive, and the mechanisms discussed by the authors represent a partial formalisation and use on a regular basis (through the provision of more effective collaboration and more supportive contexts) of those mechanisms discussed in the by-product papers (see [table 2](#)).

The partial formalisation and the importance of context identified in the network papers were taken still further in interventions deliberately designed to integrate the research function into organisational structures. These were described in the four intervention

papers in the focused review,^{35–38} and included collaborative approaches, quality improvement research initiatives, participatory and action research, and organisational approaches where the intention was explicitly to produce improvements in healthcare performance as a direct consequence of the research engagement of the organisation. One of these studies was positive,³⁷ two were mixed/positive^{35 38} and one was categorised as mixed/negative³⁶ because the improvements that were achieved during the intervention project were later reversed. Most of the improvements described were in healthcare processes, although improvements in health outcomes were reported in one study.³⁸ These four intervention papers largely described the adoption of the specific research that featured in the intervention. However, they also raised issues about how broader impact can be achieved throughout an organisation which resonate with how research networks operate, such as the importance of effective collaboration (see [table 2](#)).

The formalisation of engagement by clinicians and healthcare organisations in research

The largest group of the papers categorised as important in the focused review were those in which the level of engagement considered was organisational and the scope of impact discussed was broad. This finding ties in with the increasing formalisation of attempts to promote what were hitherto often viewed as the ‘by-product’ benefits of research engagement. This formalisation is exemplified in recent initiatives designed to promote clinical research and to encourage the translation of research such as the development of research networks, the NIH Road Map in the USA,¹¹ the NIHR Collaborations for Leadership in Applied Health Research and Care in the UK.¹² In an important realignment of objectives, these moves towards trials and other well-found research taking place within networks and as part of wider interventions mean that increasingly research engagement leading to improved healthcare performance is shifting from being a by-product to an intended outcome of research funding. To date the effect of institutional research activity on patient outcomes and, specifically, the organisational factors that can facilitate or hinder provider participation in research and that underpin implementation effectiveness have not been investigated extensively.^{39 40} However, there was evidence from the wider review that initiatives such as those described above are beginning to result in progress being made along the pathway from research engagement to improved healthcare.⁴¹ And this evidence has since been supplemented by more recently published papers that report that research active UK NHS Trusts have lower risk-adjusted mortality for acute admissions^{42 43} (a conclusion that supports the Spanish-based findings of the earlier focused-review paper by Pons *et al*²⁸), and that describe the positive outcomes being achieved by initiatives such as the UK

Table 2 Mechanisms through which research engagement may improve healthcare performance

Mechanisms identified in the focused review			Insights from the wider review
By product papers			
Clinician	Broad impact <ul style="list-style-type: none">▶ Change in attitudes and behaviour that research engagement can promote▶ Involvement in the processes of research	Specific impact <ul style="list-style-type: none">▶ Greater awareness and understanding of the specific research findings	<ul style="list-style-type: none">▶ Research-active staff may differ from their peers in non-research-active settings because of: personal characteristics, multidisciplinary collaboration, additional training and education or specialisation▶ An increasing recognition of the ‘by-product’ type benefits from research engagement has encouraged further thinking about how best to build on and regularise these opportunities
Organisation	<ul style="list-style-type: none">▶ Use of the infrastructure created to support trials more widely, or for a longer period, to improve patient care	<ul style="list-style-type: none">▶ Applying the processes and protocols developed in a specific study (not counting any impact from regimens in the intervention arm) to all patients with specific illness, irrespective of their involvement in the trial	
Network papers			
Clinician		<ul style="list-style-type: none">▶ Increased relevance of the research▶ Increased knowledge and understanding of the findings gained through participation in the research▶ Clinician participation in research networks particularly effective when the science is changing rapidly and when keeping up-to-date is critical	<ul style="list-style-type: none">▶ Mechanisms such as practice facilitators, project development meetings and network convocations allow two-way knowledge exchange throughout a research network, enabling clinicians to engage with question generation and the resulting research, and ensuring that the research is more relevant to practitioners▶ Limitations about what can be achieved by research networks▶ Need for a supportive context that enables clinicians and their organisations to participate in research and research networks▶ Evidence of a growing international interest in the benefits that might come from research networks
Organsational	<ul style="list-style-type: none">▶ Centres within networks build up a record of implementing research findings▶ Network membership increases the likelihood of physicians recommending guideline concordant treatment▶ Organisations affiliated to a network adopt an integrated, programmatic approach to improving the quality of care, including the professional education, training and national meetings provided		
Intervention papers			
Organisation		<ul style="list-style-type: none">▶ The importance of effective collaboration and the need for a supportive context	<ul style="list-style-type: none">▶ Healthcare organisations and systems provide the context within which research engagement operates at other levels▶ Organisations in which the research function is fully integrated into the organisational structure can out-perform other organisations that pay less heed to research and its outputs

NIHR CLAHRCs^{44 45} and the US NIH's Clinical and Translational Science Awards.⁴⁶

The nature of the relationship between research engagement and healthcare improvement

Throughout this review the term 'impact' was used to mean the influence or effect that research engagement might have on healthcare improvement. The nature of this relationship was discussed in some (though not all) of the papers in the focused review whose authors identified various measures of research activity (such as recruitment to trials²⁷ or production of peer-reviewed papers²⁸ or affiliation to a research network^{30 32}), highlighted confounding factors (such as hospital teaching status²⁸), and undertook multivariate analysis to establish the nature and strength of any association.^{30 32}

Overall, it is clear that at both clinician and organisational levels engagement in research differs in intensity and in form, operates through a variety of mechanisms, and is only one of many influences on performance. Although for the reasons given above, the literature on 'engagement *with* research' did not fall within the inclusion criteria for this review, this literature is considerably more established than the literature on 'engagement *in* research', and has interesting parallels with the conclusions of our own review. In particular, both literatures recognise that there is no single magic bullet⁴⁷ and that there is a need for multiple parallel strategies to encourage engagement both with and in research in order to improve healthcare performance.⁴⁸

Evaluating the effect of *active* engagement in research of the sort identified in this review is, therefore, not 'a trivial issue'.²⁶ For example, at organisational level one measure of research engagement is the extent of patient enrolment in trials. However, healthcare organisations that participate actively in trials may have other institutional characteristics that also improve patient outcomes, such as a high volume of patients, well-respected training programmes and well-motivated, highly educated staff; and there is considerable potential for confounding.²⁷ In order to establish an association between research engagement and improvement in healthcare, it is, therefore, necessary for studies to adjust for such institutional characteristics,⁴ and for other attributes such as organisational culture.⁴¹ Having established an association, further data on whether this effect increases with higher levels of participation²⁷ and over the time an institution is research-active are needed to provide evidence of causation.

Disaggregating how the various mechanisms through which research engagement improves performance operate in complex healthcare systems and factoring the role of 'organisational form' into all this⁴¹ is also not straightforward.^{40 49–51} Both the focused and the wider reviews identified situations in which impacts seemed less likely to arise from research engagement, and in which the operation of networks and schemes aimed at involving clinicians more fully in research faced difficulties in making progress, particularly when there were

not changes at the organisational level to support these initiatives.^{36 52} This suggests that, if we are to understand better why "...healthcare institutions or service providers who are active in research deliver better care and outcomes than those who do not participate in clinical research?",⁴ more work is needed to encourage engagement both in and with research in order to identify the organisational determinants of implementation effectiveness and thereby improve healthcare performance. This might, for example, mean building on the work undertaken by Teal *et al*⁴¹ in which they used an organisational model of innovation implementation that identified six factors that facilitate or hinder implementation: an organisation's readiness for change, the level of management support and resources available, the implementation policies and practices that the organisation puts into place, the climate for implementation that results from these policies and practices, and the extent to which intended users of the innovation perceive that innovation use fosters the fulfilment of their values. Or exploring further the insights developed by the US Veterans Health Administration that suggest that having researchers nested in a fully integrated healthcare delivery system with a stable patient population that has an exceptionally high prevalence of chronic conditions provides them 'with unparalleled opportunities to translate research questions into studies and research findings into clinical action'.⁵³ A different but equally promising approach is the use of a form of statistical analysis—mediation analysis—to assess the mediating effect of various clinical pathways on the impact of research activity on patient outcomes.⁴⁰

Limitations

Many bodies of literature address the broad question of whether research engagement improves performance, but most published papers do so tangentially. The initial mapping stage therefore sought to identify papers published in different fields, journals and countries, and a significant amount of time had to be dedicated to this and to refining the question and developing search terms. The focused review shared the limitations of other systematic reviews in that it inevitably excluded large volumes of potentially interesting, relevant research that did not meet the inclusion criteria or that provided too little information about key elements of the study (such as design and outcomes). In particular, studies assessing the impact made on clinician behaviour by small, locally conducted pieces of research were difficult to interpret without full knowledge of the context. A wider additional synthesis (the wider review) was undertaken to support the findings of the focused review and give the final review more explanatory power. Another common limitation in systematic reviews is the reliance of reviewers on what is already published in the literature, and one result of this was that the section of the focused review on networks drew exclusively on US studies of research networks. Linked to this is another

challenge common to systematic reviews: the impact of publication bias and, specifically, towards the publication of studies with positive results. This was addressed by searching the grey literature, conducting a web search and writing to some key authors in the field to identify unpublished literature.

CONCLUSION

Systematic analysis of the data related to the engagement by clinicians and healthcare organisations in research is in its infancy, despite widely held assumptions about the benefits of this engagement. The focused review reported above concluded that there *is* some positive evidence (albeit limited) that engagement by clinicians and healthcare organisations in research can improve healthcare performance. However, although the focused review also identified a range of mechanisms through which engagement by clinicians and healthcare organisations in research might result in improved healthcare performance, and the wider review added additional evidence, it remains unclear how these effects are produced.

Overall what was clear, however, is that there are many circumstances and mechanisms at work, more than one mechanism is often operative and the evidence available for each one is limited. These mechanisms overlap and rarely act in isolation, and their effectiveness depends on the context in which they operate. The number of research networks is growing, and the contribution of collaborative approaches to research is also developing. At an organisational level there is an increasing formalisation of potential mechanisms, and research processes themselves have become an important means through which research engagement can improve healthcare performance. Allied to these developments there is a need for further empirical research, including more fine-grained organisational studies that consider not only the research engagement of all the relevant actors but also the organisational determinants of implementation effectiveness.

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MEDLINE Search strategy and search terms

Database: Ovid MEDLINE (R) In-Process & Other Non-Indexed

Citations and Ovid MEDLINE (R) <1946 to present>

Date run: 6 March 2012.

Limits

Search dates: 1990 to current.

Search fields: title and abstract.

Languages: all.

Publication type: case reports; classical article; clinical conference; clinical trial; controlled clinical trial; corrected and republished article; evaluation studies; festschrift; government publications; guideline; journal article; meta-analysis; multicenter study; review; practice guideline; published erratum; RCT; review of reported cases; research support – all; technical report; validation studies.

Search strategy

1. (engag\$ adj2 research\$).ti,ab. OR (engag\$ adj2 trial?).ti,ab. OR (engag\$ adj2 case stud\$).ti,ab. OR (engag\$ adj2 clinical stud\$).ti,ab. OR (engag\$ adj2 experimental therap\$).ti,ab. OR (engag\$ adj2 RCT?).ti,ab. OR (engag\$ adj2 randomi?ed controlled trial?).ti,ab. OR (engag\$ adj4 clinical trial?).ti,ab. OR (participat\$ adj4 research\$).ti,ab. OR (participat\$ adj4 trial?).ti,ab. OR (participat\$ adj4 case stud\$).ti,ab. OR (participat\$ adj4 clinical stud\$).ti,ab. OR (participat\$ adj4 experimental therap\$).ti,ab. OR (participat\$ adj4 RCT?).ti,ab. OR (participat\$ adj2 randomi?ed controlled trial?).ti,ab. OR (participat\$ adj4 clinical trial?).ti,ab. OR (involv\$ adj2 research\$).ti,ab. OR (involv\$ adj2 trial?).ti,ab. OR (involv\$ adj2 case stud\$).ti,ab. OR (involv\$ adj2 clinical stud\$).ti,ab. OR (involv\$ adj2 experimental therap\$).ti,ab. OR (involv\$ adj2 RCT?).ti,ab. OR (involv\$ adj2 randomi?ed controlled trial?).ti,ab. OR (involv\$ adj4 clinical trial?).ti,ab. OR (interact\$ adj2 research\$).ti,ab. OR (interact\$ adj2 trial?).ti,ab. OR (interact\$ adj2 case stud\$).ti,ab. OR (interact\$ adj2 clinical stud\$).ti,ab. OR (interact\$ adj2 experimental therap\$).ti,ab. OR (interact\$ adj2 RCT?).ti,ab. OR (interact\$ adj2 randomi?ed controlled trial?).ti,ab. OR (interact\$ adj4 clinical trial?).ti,ab. OR (tak\$ part adj3 research\$).ti,ab. OR (tak\$ part adj5 trial?).ti,ab. OR (tak\$ part adj3 case stud\$).ti,ab. OR (tak\$ part adj3 clinical stud\$).ti,ab. OR (tak\$ part adj3 experimental therap\$).ti,ab. OR (tak\$ part adj3 RCT?).ti,ab. OR (tak\$ part adj2 randomi?ed controlled trial?).ti,ab. OR (tak\$ part adj4 clinical trial?).ti,ab. OR (initiat\$ adj2 research\$).ti,ab. OR (initiat\$ adj2 trial?).ti,ab. OR (initiat\$ adj2 case stud\$).ti,ab. OR (initiat\$ adj2 clinical stud\$).ti,ab. OR (initiat\$ adj2 experimental therap\$).ti,ab. OR (initiat\$ adj2 RCT?).ti,ab. OR (initiat\$ adj2 randomi?ed controlled trial?).ti,ab. OR (initiat\$ adj4 clinical trial?).ti,ab. OR (follow\$ adj2 research\$).ti,ab. OR (follow\$ adj2 trial?).ti,ab. OR (follow\$ adj2 case stud\$).ti,ab. OR (follow\$ adj2 clinical stud\$).ti,ab. OR (follow\$ adj2 experimental therap\$).ti,ab. OR (follow\$ adj2 RCT?).ti,ab. OR (follow\$ adj2 randomi?ed controlled trial?).ti,ab. OR (follow\$ adj4 clinical trial?).ti,ab. OR (introduc\$ adj2 research\$).ti,ab. OR (introduc\$ adj2 trial?).ti,ab. OR (introduc\$ adj2 case stud\$).ti,ab. OR (introduc\$ adj2 clinical stud\$).ti,ab. OR (introduc\$ adj2 experimental therap\$).ti,ab. OR (introduc\$ adj2 RCT?).ti,ab. OR (introduc\$ adj2 randomi?ed controlled trial?).ti,ab. OR (introduc\$ adj4 clinical trial?).ti,ab. OR (conduct\$ adj2 research\$).ti,ab. OR (conduct\$ adj2 trial?).ti,ab. OR (conduct\$ adj2 case stud\$).ti,ab. OR (conduct\$ adj2 clinical stud\$).ti,ab. OR (conduct\$ adj2 experimental therap\$).ti,ab. OR (conduct\$ adj2 RCT?).ti,ab. OR (conduct\$ adj2 randomi?ed controlled trial?).ti,ab. OR (conduct\$ adj4 clinical trial?).ti,ab. OR (learning organi?ation?).ti,ab. OR (research intensive organi?ation?).ti,ab. OR (academic medical centre?).ti,ab. OR (academic medical center?).ti,ab. OR (academic health science

centre?).ti,ab. OR (academic health science center?).ti,ab. OR (research network?).ti,ab. OR (research collaboration?).ti,ab. OR (study hospital?).ti,ab. OR (teaching research facilities).ti,ab. OR (trial hospital?).ti,ab. OR (veterans health administration).ti,ab. (67,083)

2. ((improve\$).ti,ab. OR (influence\$).ti,ab. OR (determine\$).ti,ab. OR (affect\$).ti,ab. OR (effect\$).ti,ab. OR (increase\$).ti,ab. OR (decrease\$).ti,ab. OR (declines\$).ti,ab. OR (diminish\$).ti,ab. OR (weake\$).ti,ab. OR (worse\$).ti,ab. OR (benefi\$).ti,ab. OR (impact\$).ti,ab. OR (better).ti,ab. OR (worse).ti,ab. OR (greater).ti,ab. OR (lesser).ti,ab. OR (lower).ti,ab. OR (higher).ti,ab. OR (evaluat\$).ti,ab. OR (compar\$).ti,ab.) adj5 ((performance).ti,ab. OR (patient\$ adj4 outcome?).ti,ab. OR (process quality).ti,ab. OR (process assessment?).ti,ab. OR (health care adj4 outcome?).ti,ab. OR (healthcare adj4 outcome?).ti,ab. OR (clinical adj4 outcome?).ti,ab. OR (quality adj4 care).ti,ab. OR (compar\$ adj4 outcome?).ti,ab. OR (patient\$ adj4 mortality).ti,ab. OR (routine adj clinical practice).ti,ab. OR (mortality adj4 outcome\$).ti,ab. OR (organi?ational process\$).ti,ab. OR (organi?ational determinant\$).ti,ab. OR (organi?ational characteristic?).ti,ab. OR (organi?ational innovation?).ti,ab. OR (organi?ational culture).ti,ab. OR (organi?ational support).ti,ab. OR (clinical adj2 care).ti,ab. OR (treatment outcome).ti,ab. OR (adhere\$ adj4 guideline?).ti,ab. OR ("use\$" adj4 guideline?).ti,ab. OR (clinical practi?e).ti,ab. OR (patient\$satisfaction).ti,ab.) (7,650,724)

3. (practice adj4 change?).ti,ab. OR (service adj4 change?).ti,ab. OR (organi?ational change?).ti,ab. OR (treatment change?).ti,ab. OR (prescri\$ change?).ti,ab. (713,416)

4. 2 OR 3 (10,879)

5. 1 AND 4 (4,804)

The hourglass review

The review reported in this paper is described as an hourglass review to reflect the scope of the conceptual analysis and the number of papers considered in detail (rather than the sheer volume of titles reviewed) at each stage. The three parts of the review were a broad mapping stage, followed by a focused or formal review on the core issue of whether or not research engagement improves health care, and a final stage which involved an exploration of a wider literature to help identify and describe plausible mechanisms.

Stage 1: planning and mapping

The initial scoping and planning phase was as wide as possible in an attempt to ensure any coherent bodies of empirical evidence relating to the question and any plausible mechanisms were captured. The research team examined a large number of bodies of knowledge. For this exercise, the review team drew on existing knowledge, team meetings and brainstorming sessions, and consultation with the advisory group. Reviewers started with an open mind about the types of research on research that might have addressed the review question, following the Institute of Medicine's definition of health services research as: “a multidisciplinary field of inquiry, both basic and applied, that examines the use, costs, quality, accessibility, delivery, organization, financing, and outcomes of health care services to increase knowledge and understanding of the structure, processes, and effects of health services for individuals and populations”.

These initial explorations presented a dilemma. Discussions with the project's information scientist confirmed that it would be impractical to conduct a focused search of all the bodies of knowledge that might have something relevant to say on the topic. Yet none of them appeared to contain a sufficiently large number of relevant papers to make it sensible to focus explicitly on that area in order to explore the various mechanisms involved. As a result, the team extended the initial stage to enable the field to be mapped as widely as possible so as to inform the later more detailed database search. This mapping phase continued the approaches described above, plus hand-searching of journals, searching of relevant web sites, and searching the Effective Practice and Organisation of Care Cochrane database.

The hand search at this stage focused on journals that covered aspects of the relationship between research engagement and improved health-care performance. These were: Journal of Health Services Research & Policy; The Milbank Quarterly; Evidence & Policy; Implementation Science; and Health Research Policy and Systems. Preliminary internet searches were conducted on the following websites: English Department of Health; NIHR; National Institute for Health and Care Excellence; World Health Organization; numerous Canadian health research organisations (including CHSRF); and the University of Birmingham Centre for Health Services Management library. Papers considered to be particularly relevant for the study were given a designated ‘KEY’ status, and snowballing was used to explore further potentially relevant references cited in these papers.

The findings from this informal but extensive searching were used to develop initial maps of each of the bodies of knowledge from the diverse range listed above, and to inform the search terms used in the next stage – the focused review.

Stage 2: the focused review

The search strategy

The focused, or formal, review concentrated on the specific question of whether or not engagement in research improves health-care performance. For this stage the review team wanted a comprehensive search of as many databases as possible. The search terms were similar for the each database but were modified to meet the requirements of each. The review sought to identify empirical research studies where the concept of ‘involvement in research’ was an input and some measure of ‘performance’ was an output. The initial broad interpretation of terms was tightened as the review progressed.

The search strategy covered the period January 1990 to March 2012 as the mapping phase suggested that this was the most fruitful period for addressing the review topic. English-language terms were used, although papers identified through this route that were not published in English were considered for inclusion, and consideration was given to terms used in other English-speaking countries (e.g. the use of the term ‘community’ in North America can be noticeably different from its use in the UK). To be included, papers needed to contain empirical data from a whole range of research approaches, both quantitative and qualitative, in line with a broad interpretation of health services research. The search was not, therefore, limited to clinical trials. The databases searched included MEDLINE, EMBASE, PsycINFO, Cumulative Index to Nursing and Allied Health Literature (CINAHL), Web of Science, Applied Social Sciences Index and Abstracts (ASSIA), British Nursing Index, Health Management Information Consortium (HMIC) and System for Information on Grey Literature in Europe (SIGLE) databases. The search strategy was developed by members of the research team and a senior information scientist from King's College, London. These database searches were supplemented with more focused hand-searches of the five journals initially searched in Stage 1 (listed above), papers suggested by the expert advisors and patient representatives, further searching of several national and international websites (listed above) and snowballing of papers considered to be key for the discussion. Searches were conducted by an information scientist working closely with the review team.

Steps in the focused review

First step – title review

This step involved examination of the title of each paper, and occasionally the abstract when the title provided too little detail, to quickly exclude documents clearly not relevant to the review. The predominant aim here was to be inclusive, only excluding papers clearly not relevant. Reasons for exclusion at this step were: not health related, not a human study, no mention of research (or related terms), no clinical outcomes or processes. At first papers were reviewed by two reviewers independently, but this was reduced to one reviewer after a short time as the numbers of abstracts to be studied was large and a test indicated that the agreement between the reviewers was considered to be satisfactory.

Second step – abstract review

In the second step of the review, titles and full abstracts were studied in greater depth to assess the eligibility of each paper that had not been excluded at the title review. A first reviewer conducted this exercise and then passed the paper (and, where appropriate, comments) to a second reviewer. The aim of the first reviewer was to be inclusive: the aim of the second reviewer was to be more selective. Where the two reviewers disagreed they met to discuss the title and abstract. If agreement was still not possible then the paper was taken through to the third step of the review for a study of the full paper, along with the papers where there was agreement on inclusion. Reasons for exclusion were: not health related, not a human study, no mention of engagement in research (or related terms), no clinical outcomes or processes. Reasons for inclusion were: mention of engagement

in research or of research in combination with collaboration, multicentre, organisational, or other related terms, mention of clinical outcomes or processes in the form of empirical data.

Third step – full-paper review

The third step was a further relevance and initial quality check of all the included papers from the second step to determine which papers were suitable to proceed through to the data extraction stage. Research engagement and improved health care had to be demonstrated in some way in the included papers. So, for example, in relation to clinical research, just because researchers who had been involved in a particular trial were now using the findings of that trial was not, by itself, sufficient. Instead, and as far as possible, the team attempted to include only studies that examined in some way whether or not those clinicians/institutions who had been engaged in the research were adopting the findings more rapidly and/or extensively than other clinicians/institutions, i.e. we were looking for some measure of control within the study. For collaborative and action research, slightly different considerations had to come in to play because, by the very nature of the research, it was intended to be most relevant for those engaged in the research.

During the earlier parts of the review some potentially important papers were identified describing activities such as participation in research networks or action research that the research team considered to be a form of engagement in research and that in some instances seemed to lead to improved health care. The team wanted to make sure that the review captured the full range of activities that might come under the term engagement in research and not to restrict the review to clinical trials. Therefore, to add precision to our inclusion criteria, the team explicitly set out some of the activities that could be considered to be included under the heading ‘engagement in research’.

Broadly similar inclusion principles were adopted across all categories of papers, and, where possible, reflected the spread of approaches we saw in the literature by including studies in organisational settings, and collaborative and participatory studies. This meant, for example, seeking to include studies that made some attempt to show that the use of the findings from engagement in collaborative or action research resulted in improvements in health-care performance, and that clinician/institution behaviour change was sustained beyond the period of the intervention. In other words, we attempted to distinguish a sustained impact from a more temporary study effect. Ideally such studies would also show some evidence of differential uptake of findings by the clinicians/institutions involved in the research, as measured against

control groups not involved. But we found that this was rarely studied: collaborative or action research is often undertaken in response to the specific needs of the clinicians/institutions engaged in that research, and frequently does not include any control.

All three reviewers agreed on the papers taken through to the final data extraction stage of the review, and a data extraction sheet was completed by one reviewer for each of these papers. A quality check was informed by checklists available as part of the Critical Appraisal Skills Programme or similar, but the diversity of methods used in the papers meant that no one quality appraisal tool could be rigidly applied.

Analysis in the focused review

The papers in the focused review were heterogeneous and unsuited to a meta-analysis. Instead, an account of each paper was provided in tabular form. Each paper that reached the final data extraction stage was also analysed in relation to:

- its importance to this review based on quality (especially the level of control in the study), size of the study and relevance to our review question;
- Whether the findings were positive (showing research engagement did improve health care) or negative (showing no positive impact) or mixed. Under this interpretation, a ‘negative’ finding did not necessarily mean that health care worsened, it might have remained unchanged over the course of the study. Some papers provided mixed data about improvement that were inconclusive and difficult to interpret. Findings that were partially positive and partially inconclusive we labelled ‘mixed/positive’; findings that were partially negative and partially inconclusive we labelled ‘mixed/negative’;
- the degree of intentionality of the link between research engagement and health-care performance (by-product, research network, or intervention);
- the scope of the impact made by research engagement (broader impact/specific impact);
- the level of engagement discussed (clinician or organisational). We initially intended to analyse papers according to the four levels of engagement mentioned in the ITT – clinician, team, service or organisational – but eventually used the two levels of clinician and organisation because, at levels above that of individual clinicians, there is little consensus about the reporting terms used and we could not readily apply the separate categories of team, service and organisation.

Finally, each of the papers was examined to identify any factors that the authors were proposing as possible causes of the improvement in health-care performance. This analysis was supplemented by the wider review described below.

Stage 3: wider review

The final stage was an informal wider review. This was primarily intended to contribute to a fuller understanding of the relationship between research engagement and improved health-care performance, and, in particular, to help us identify and explore the mechanisms through which research engagement can improve health care. It was intended to build on relevant theories and supplement the focused review. The papers considered for this wider review included all the papers from the full-paper review stage of the focused review, plus additional papers most relevant for the analysis from the 440 papers considered potentially relevant from the initial mapping, and ongoing snowball exercises but excluded from the final step of the focused review. The papers that were additional to the 33 finally included in the focused review were interrogated and sorted into groups according to the theoretical approaches outlined in Chapter 2 and the emerging categories of mechanisms. At this stage many papers were excluded from further consideration as they were not relevant to the issues being reviewed.

The remaining papers in each category were reviewed in an attempt to identify any that met one or more of the following criteria: (1) Despite not meeting the full inclusion criteria for the focused review, nevertheless illustrated positive or negative findings about the impact of research engagement on performance, especially on aspects about which there was a dearth of evidence from the focused review; (2) They had to have at least reasonably strong empirical data describing progress some way along the pathway from research engagement to improved health-care performance; (3) They needed to provide a strong descriptive account of initiatives involving mechanisms through which some form of research engagement might improve health-care performance; (4) They were relevant theoretical and/or review papers that helped illuminate the issues.

The papers identified through this process helped to provide a fuller understanding and a context for the findings from the focused review about whether or not research engagement improves health-care performance, and to assist exploration of the suggested mechanisms through which this might happen.