



Research Fairness Initiative (RFI)

Report Writing Workshop and Information Day

South Africa
2-3 October 2017, Cape Town
4 October 2017, Pretoria



Building Bi-regional Partnerships for Global Challenges



CAAST-Net Plus is funded by the European Union's Seventh Framework Programme for Research and Technological Development (FP7/2007-2013) under grant agreement n° 311806. This document reflects only the author's views and the European Union cannot be held liable for any use that may be made of the information contained herein.

Author(s): Kirsty Klipp, Katharina Kuss, Refilwe Mashigo

Organisation Name(s): COHRED, FCSAI, DST

16.11.2017 | Version 1.2 | PUBLIC

**RFI Report Writing Workshop and Information Day – South Africa
2-4 October 2017**

Contents

Overview	2
RFI Report Writing Workshop, Cape Town – 2-3 October 2017	2
Feedback about the RFI Report Writing Workshop	3
RFI Information Day – Department of Science and Technology, Pretoria – 4 October 2017	4
Presentations	4
Panel discussion	5
Closing remarks	6
Appendices	7
List of attendees: RFI Report Writing Workshop – 2-3 October 2017, Cape Town	7
List of attendees: RFI Information Day – 4 October 2017, Pretoria	8

Overview

In October 2017, the Department of Science and Technology (DST) hosted a series of meetings which focused on the Research Fairness Initiative (RFI) and its potential implementation in the South African context. These meetings were organised in partnership with the Council on Health Research for Development (COHRED); the Spanish Foundation for International Cooperation, Health and Social Affairs (FCSAI) and the Institut de Recherche pour le Développement (IRD).

This consisted of a two-day RFI report writing workshop held in Cape Town, from 2-3 October, as well as an RFI Information Day, held in Pretoria on 4 October 2017. These two events focused on introducing South African institutions to the RFI framework, and the workshop was used to aid institutions in beginning to write their internal RFI reports, with the aim of the institutional teams starting the process and presenting their feedback about the RFI to the executive level.

RFI Report Writing Workshop, Cape Town – 2-3 October 2017

The RFI Report Writing Workshop was held from 2-3 October at the Hotel Verde, in Cape Town. Six Institutions were represented at the workshop, most of which represented by teams and two which were represented by individuals. The institutions represented included the **University of Cape Town (UCT)**, **Stellenbosch University (SUN)**, **the University of the Western Cape (UWC)**, **Sefako Makgatho Health Sciences University (SMU)**, **the University of Fort Hare (UFH)** and **the Human Sciences Research Council (HSRC)**.

A brief welcome address and background to the RFI interventions was delivered by Glaudina Loots of the DST. Following this, Katharina Kuss (FCSAI) spoke about the CAAST-Net Plus contribution to the RFI, outlining some of the work done thus far in other African countries. Prof Carel Jsselmuiden (COHRED) then presented the RFI framework to participants, and following this provided clarification by answering questions about the RFI and giving several examples of how it could benefit institutions to report.

Following these introductory presentations, institutions broke off into their teams and began to answer the various questions set out by the first set of indicators in the RFI reporting guide. Members from the hosting organisations were available to answer any questions and sat in on discussions in order to gather some feedback from the delegates. After the teams had concluded Domain 1 of the reporting guide, a short group discussion took place regarding any difficulties experienced answering the questions, and ways of moving forward.

The second day of the workshop started with the teams continuing their initial reports with Domains 2 and 3. Following the completion of their initial reports, a group discussion was held regarding the way forward and for delegates to provide the hosts with feedback about the RFI, as well as their intentions about recommending it as a tool to their various institutions.

Feedback about the RFI Report Writing Workshop

- **Prof Prem Govender (SMU)** said that for an institution like SMU, which is a “new” institution that has come out of a previously disadvantaged institution, old practices were inherited which may not actually be useful for the university in its current format. He suggested that the RFI is a good exercise to help management review and understand the official policies that are in place. He remarked that the universities strategic goals should be reviewed against the RFI. He suggested that the RFI illuminated many areas that need attention for SMU. He stated that the SMU team would recommend the RFI to the DVC for Research.
- **Prof Priscilla Baker (UWC)** remarked that the workshop provided the UWC team an opportunity to assess where they stand and what their policies are. The team highlighted some aspects that they intended on taking back to the institution to address. While many aspects are addressed in a practical manner, the team was not sure if official documentation is currently in place at UWC outlining how things are to be done. [NB. The meeting responded by stating that this issue is, of course, one of the main reasons to implement the RFI – to understand institutional policy and practice on research collaboration better and review it systematically]. There is an expectation that many different task teams would need to be involved to complete a report. She stated that it is in every institution’s best interest to align their practices in terms of fairness.
- **Dr Yolande Harley**, on behalf of the team from UCT, said that their feedback to the DVC Research would be positive. She also mentioned that – at the beginning of the workshop – it was unclear to the team whether the RFI should be implemented by faculty or university-wide. At first, it seemed that introduction by faculty would be easier. On day 2, following better understanding of what the RFI intends to achieve and how it operates, the team felt that their recommendation will be for University-wide application – i.e. 1 RFI report for the entire UCT. Dr Harley also suggested that the RFI could be very useful if built into grant applications, and was something reviewers had to consider.
- **Ms Bridgette Prince (HSRC)** stated that the exercise showed that some of their policies do not work that well together. The HSRC team found the exercise useful as it asks questions about many partnership aspects that the HSRC might not have thought about or concerning which had made an explicit policy or practice decision. Ms Prince also stated that the team would recommend to HSRC Executive to implement the RFI.
- **Prof Voster Muchenje (UFH)** observed that completion of the RFI report would need to involve people from various different branches of an institution (e.g. finance, legal, human resources, management, etc.) that would not normally talk to each other on contracts and partnerships. The RFI could, therefore, be an eye-opening exercise that helps ensure that partnership processes are synchronised and support UFH’s drive to increase its national and international research collaborations. He confirmed to take the recommendation to implement the RFI to UFH Executive.
- **Prof Keymanthri Moodley (SUN)** concluded that the RFI would be a very useful exercise for any academic institution. She stated it could be very useful in ensuring that local ethics committees are not robbed of their independence by Northern partners/funders. She also

RFI Report Writing Workshop and Information Day – South Africa 2-4 October 2017

suggested that many other indicators could help institutions to see where there are gaps in policy and help them to fill these gaps. Prof Moodley stated to recommend to the Dean of the Faculty of Medicine and Health Sciences that Stellenbosch University adopt the RFI as a university-wide reporting framework – similar to the position taken by UCT.

The major issue of concern – or, rather, for clarification – that was highlighted by several of the teams was the perception of additional administrative work needed to write the RFI Report and, possibly, not having personnel resources to prepare the RFI Report.

The response provided by COHRED was that the RFI Implementation Guide provides a model for implementation that can be adapted for each individual institution. The essence is that questions asked are relatively straightforward to answer – provided the right person in the institution is asked. The time to respond in many instances is measured in seconds – however, deciding on and implementing institutional measures to address gaps or improve current practices and policies, may well take months to achieve. But this is not ‘report writing time’ – this time is ‘institutional improvement’ time – the first major purpose of the RFI.

RFI Information Day – Department of Science and Technology, Pretoria – 4 October 2017

Presentations

The RFI Information Day was held on 4 October 2017 at the Department of Science and Technology, Pretoria. This event was attended by delegates from 14 South African institutions as well as some representation from surrounding countries (see Appendix below). The RFI Information Day was opened by Mr Francois Davel, the Director for International Cooperation and Resources unit at DST. He began by welcoming the delegates and providing a short introduction to the day. Following this, Prof Carel IJsselmuiden gave a presentation on the RFI framework and how it could apply to the South African context, as well as its benefits on both a national and global scale. Following this he answered questions from delegates and provided clarification on issues of concern. Katharina Kuss (FCSAI) then introduced the RFI from the perspective of the CAAST-Net Plus network, followed by a presentation from Dr Jean Albergel (IRD, France) about the Food and Nutrition Security and Sustainable Agriculture (FNSSA) partnership in the Context of CAAST-Net Plus.

The afternoon session began with a keynote address by Prof Charles Wiysonge, Head of the Cochrane Research Unit (SA Medical Research Council), discussing the trends and factors associated in health publications from South Africa. This was followed by a presentation by Prof Anastassios Pouris, from the Institute for Technological Innovation (University of Pretoria), which highlighted his Bibliometric Analysis of Africa-EU Co-publications in Health Research. These two speakers highlighted the power imbalances and lack of fairness that appear to be present in much published research undertaken in collaboration between North-South partners. This spoke directly to the benefit of institutions producing RFI reports and which in turn could ensure that on a global level, low and middle income country (LMIC) institutions are provided with the capacity and ability to negotiate and solidify fair partnerships with high income partners.

Panel discussion

The panel discussion included the following delegates:

- Prof Prem Govender – Sefako Makgatho Health Sciences University (SMU)
- Dr Kwezi Mzilikazi – National Research Foundation (NRF)
- Prof Carel IJsselmuiden – Council on Health Development for Research (COHRED)
- Dr Petronella Chaminuka – Agricultural Research Council (ARC)
- Dr Jean Albergel – Institut de Recherche pour la Développement (IRD)

Ms Refilwe Mashigo (DST) introduced the members of the panel discussion and posed the question of how the RFI could be applied in the framework of the institutions represented.

Prof Prem Govender (SMU) opened the discussion by stating that when arriving at the RFI Report Writing workshop held prior to the Information Day, he believed that because SMU have ethics committees that assess research not only from an ethical point of view, but also on how it is conducted in terms of social accountability, etc., the university was performing relatively well. But towards the end of the workshop, when looking at elements such as opportunity and benefits, he began to realise that as a university there were gaps and more effort could be put into these areas. For SMU in particular, this initiative came at a good time, as the tool could be used to audit where the university stands, and where change is due. He saw it as having great value from a partnership perspective, especially for South African institutions in North-South partnerships. This tool allows an institution to define and negotiate their entrance into a partnership.

Dr Kwezi Mzilikazi (NRF) stated that partnerships are a key component of NRF business, and fairness is a value to which the NRF subscribes. She stated that the principles of the RFI are universally applicable and all would do well to reflect on them. She suggested that although the NRF does apply many of the principles of the RFI, it is not doing so in a coordinated way. She remarked that as part of the grant application process, applicants in partnerships are required to expand on what each partner is responsible for. The NRF also monitors the outputs that come out of collaborations. There are elements in place but the principles are not presently used in totality. She suggested that although the RFI is presented as a reporting tool, it has many more uses. The NRF will look into how they can aid in creating awareness of the RFI tool and interest in its use. Ultimately, if DST will recommend the use and implementation of the RFI in South Africa, the NRF will actively support this. At this stage, it is important for NRF to see how the RFI can be built into funding decisions for research in South Africa

Dr Petronella Chaminuka (ARC) stated that the ARC is involved in many partnerships, both internationally and locally. Issues of fairness and impact are considered to be high priority for the ARC, in terms of how they do business. She stated she found the tool to be relevant and applicable for the ARC. Currently the international collaborations in which the ARC is involved differ substantially in terms of options that are available for how calls are structured. The ARC has a legal office that deals with contracting, as well as an international relations office. Therefore some of the indicators are dealt with but the issues in partnership that the RFI raises are not really dealt with in a structured or measured way. Due to the size of the ARC organisation there are some issues in monitoring the activities and actions of researchers who are involved in partnerships, which has resulted in legal action due to a lack of knowledge/awareness on the part of researchers. The RFI could help deal with this. The two ARC delegates resolved to take it back to the organisation and recommend its implementation. However, on a cautionary note, Dr Chaminuka thought that the RFI

**RFI Report Writing Workshop and Information Day – South Africa
2-4 October 2017**

on its own may still not be sufficient to bring about long term changes in research collaborations involving African institutions because the change that is required in her view has to do with how African partners see themselves, their power, how Northern partners see LMIC partners – a change in attitude and partnership culture. The key question for her was; how can the RFI support this ‘bigger’ outcome and to produce sustainable solutions?

Dr Jean Albergel (IRD) remarked that he has presented the RFI to The Ethics and Professional Conduct Advisory Committee in the IRD, which includes European and non-European participants, which published a Code of Practices for scientific partnership and the IRD Partnership Charter for research and development. The RFI was greeted with enthusiasm. A presentation to the IRD’s President and Executive is planned for later in October.

Following these remarks, an open discussion ensued with all the participants.

Closing remarks

Closing remarks were presented by Tinyiko Mushwana, Deputy Director: Africa Multilateral Cooperation (DST). The DST’s interest in the RFI was outlined as well as the possibility of the DST supporting national implementation and encouraging of the production of RFI reports by all nationally funded institutions in South Africa. She mentioned that the Department is studying how it could build the RFI into funding decisions. She also invited participants to join the South African Science Forum 2017, 7-8 December 2017, at the CSIR – in which the issue of research and innovation partnerships – and the RFI’s use to improve these – would be discussed with local and global experts.

Appendices

List of attendees: RFI Report Writing Workshop – 2-3 October 2017, Cape Town

Name	Institution	Institution Abbreviation	Email address
Prem Govender	Sefako Makgatho Health Sciences University	SMU	prem.govender@smu.ac.za
Gloria Selabe	Sefako Makgatho Health Sciences University	SMU	gloria.selabe@smu.ac.za
Eulanda Motlhaga	Sefako Makgatho Health Sciences University	SMU	eulanda.motlhaga@smu.ac.za
Mohlatlego Sebola	Sefako Makgatho Health Sciences University	SMU	mohlatlego.sebola@smu.ac.za
Voster Muchenje	University of Fort Hare	UFH	VMuchenje@ufh.ac.za
Yolande Harley	University of Cape Town	UCT	yolande.harley@uct.ac.za
Piet Barnard	University of Cape Town	UCT	piet.barnard@uct.ac.za
Lyn Horn	University of Cape Town	UCT	lyn.horn@uct.ac.za
Keymanthri Moodley	Stellenbosch University	SU	KM@sun.ac.za
Bridgette Prince	Human Sciences Research Council	HSRC	bprince@hsrc.ac.za
Nicole van Rheede	Human Sciences Research Council	HSRC	nvanrheede@hsrc.ac.za
Priscilla Baker	University of the Western Cape	UWC	pbaker@uwc.ac.za
Chantelle Williams-Dreyer	University of the Western Cape	UWC	cwilliamsdreyer@uwc.ac.za
Peter Syster	University of the Western Cape	UWC	psyster@uwc.ac.za
Carel IJsselmuiden	Council on Health Research for Development	COHRED	carel@cohred.org
Kirsty Klipp	Council on Health Research for Development	COHRED	klipp@cohred.org
Refilwe Mashigo	Department of Science and Technology	DST	Refilwe.Mashigo@dst.gov.za
Glaudina Loots	Department of Science and Technology	DST	Glaudina.Loots@dst.gov.za
Katharina Kuss	Spanish Foundation for International Cooperation, Health and Social Affairs	FCSAI	katharina.kuss@gmx.de
Jean Albergel	Institut de Recherche pour le Développement	IRD	jean.albergel@ird.fr

**RFI Report Writing Workshop and Information Day – South Africa
2-4 October 2017**

List of attendees: RFI Information Day – 4 October 2017, Pretoria

Name	Institution	Institution Abbreviation	Email address
Anastassios Pouris	Institute for Technological Innovation, University of Pretoria	UP	apouris@icon.co.za
Arthur Guischet	Institut de Recherche pour le Développement, France	IRD	
Boitumelo Semete	Council for Scientific and Industrial Research	CSIR	BSemete@csir.co.za
Bridget Murovhi	Agricultural Research Council	ARC	MurovhiB@arc.agric.za
Carel IJsselmuiden	Council on Health Research for Development	COHRED	carel@cohred.org
Carol Nonkwelo	University of Johannesburg	UJ	cnonkwelo@uj.ac.za
Charles Wiysonge	Medical Research Council	MRC	charles.wiysonge@mrc.ac.za
Christine Kasule	Council on Health Research for Development	COHRED	ckasule@cohred.org
Darelle van Greunen	Nelson Mandela University	NMU	Darelle.vanGreunen@nmmu.ac.za
Emmerentiana Bweupe	Zambian High Commission	ZHC	emmiebweupe@gmail.com
Gatama Gichini	Ministry of Education (Kenya)		gamatagichini@kenya.org.za
Jean Albergel	Institut de Recherche pour le Développement, France	IRD	jean.albergel@ird.fr
John Mugabe	University of Pretoria	UP	John.Mugabe@up.ac.za
Karen Harris	University of Pretoria	UP	karen.harris@up.ac.za
Katharina Kuss	Spanish Foundation for International Cooperation, Health and Social Affairs	FCSAI	katharina.kuss@gmx.de
Kirsty Klipp	Council on Health Research for Development	COHRED	klipp@cohred.org
Kwezi Mzilikazi	National Research Foundation	NRF	kwezi.mzilikazi@nrf.ac.za
Nobelungu Julia Mekwa	Independent Researcher		Nobelungu777@hotmail.com
Petronella Chaminuka	Agricultural Research Council	ARC	ChaminukaP@arc.agric.za
Prem Govender	Sefako Makgatho Health Sciences University	SMU	prem.govender@smu.ac.za

**RFI Report Writing Workshop and Information Day – South Africa
2-4 October 2017**

Name	Institution	Institution Abbreviation	Email address
Puleng Segalo	University of South Africa	UNISA	Segalpj@unisa.ac.za
Refilwe Mashigo	Department of Science and Technology	DST	Refilwe.Mashigo@dst.gov.za
Shisana Baloyi	University of the Free State	UFS	BaloyiSM@ufs.ac.za
Simphiwe Nelana	Vaal University of Technology	VUT	simphiwen@vut.ac.za
Siyavuya Bulani	Academy of Science of South Africa	ASSAF	Siyavuya@assaf.org.za
Stanley Maphosa	Academy of Science of South Africa	ASSAF	Stanley@assaf.org.za
Sourya Ouattara-Wintenberger	French Embassy in SA		sourya.ouattara-wintenberger@diplomatie.gouv.fr
Theresa Rossouw	University of Pretoria	UP	theresa.rossouw@up.ac.za
Tiyani Chauke	Department of Science and Technology	DST	Tiyani.chauke@dst.gov.za
Seipelo Kgosiejang	Department of Science and Technology	DST	Seipelo.kgosiejang@dst.gov.za
Tozama Qwebani-Ogunleye	Vaal University of Technology	VUT	olathozie@gmail.com
Sikhonzile Sikhonsana	Department of Science and Technology	DST	Sikhonzile.sikhonsana@dst.gov.za
Mylene Mangwanda	Department of Science and Technology	DST	Mylene.mangwanda@dst.gov.za
Sechaba Bareetseng	Council for Scientific and Industrial Research	CSIR	sbareetseng@csir.co.za
Phumelele Higgins	Department of Science and Technology	DST	Phumelele.higgins@dst.gov.za