Sustainable collaboration tool supporting bi-regional S&T co-operation on joint health priorities

Research Fairness Initiative (RFI)

Reporting Guide

caast-net-plus.org

COHRED
Council on Health Research for Development

Authors: Carel IJsselmuiden, Janis Lazdins, Lauranne Botti, Kirstly Klipp, Jacintha Toohey, Nivedhna Sing, Katharina Kuss, Eric Mwangi
Organisation Names: Council on Health Research for Development (COHRED); Spanish Foundation for International Cooperation and Policy (FCSAI), Kenyan Ministry of Education Science and Technology (MoEST)
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Introduction: The Research Fairness Initiative in context of CAAST NET Plus

In context of the CAAST-Net Plus collaboration COHRED invited MoEST and FCSAI in April 2015 to the Stakeholder meeting on the Research Fairness Index (RFI), held at Wellcome Trust in London, April 2015. A major result of this meeting was the idea to join efforts and resources for the further development of RFI, which later became the Research Fairness Initiative (RFI). The idea was proposed to the European Commission and the CAAST-Net Plus annual assembly in May 2015 and was approved by all partnering institutions.

Kenyan Ministry of Education Science and Technology (MoEST) and the Spanish Foundation for International Cooperation, Health and Social Affairs (FCSAI) are jointly responsible for the health research thematic area in CAAST-Net Plus. The Council on Health Research for Development (COHRED) is task leader of Task 3.5 A collaborative platform for supporting bi-regional research partnerships and their outcomes around joint health priorities.

Over the past few years COHRED, together with FCSAI and other CAAST-Net Plus partners have been developing the Research Fairness Initiative (RFI) – a reporting system that encourages governments, business, organisations and funders to share their efforts to develop fair partnerships by describing their policies and practices – and, in the process, develop better guidelines and benchmarks that will increase global capacity to deal with the challenges of global health, equity and development.

Lead by COHRED, the team is currently in the process of promoting and implementing the reporting tool to enhance framework conditions around health research partnerships. Since 2015, several RFI workshops were held in the context of CAAST-Net Plus, including the following workshops:

- Kenya, Nairobi – May 2016, hosted by MoEST and Kenya Medical Research Institute (KEMRI);
- Nigeria, Abuja – July 2016, hosted by the National Office for Technology Acquisition and Promotion (NOTAP);
- Senegal, Dakar – August 2016, hosted by Ministère de l'Enseignement supérieur et de la Recherche (MESR);
- Belgium, Brussels – September 2016, hosted by FCSAI and the Spanish Health Institute Carlos III (ISCIII)
- South Africa, Cape Town – November 2016, hosted by the South African Medical Research Council (MRC)
- Senegal, Dakar – June 2017, hosted by Ministère de l'Enseignement supérieur et de la Recherche (MESR)
- South Africa, Pretoria – October 2017, hosted by Department of Science and Technology (DST)

In addition, COHRED and FCSAI are presenting the initiative in to research and funding organizations in Europe. The link to the global perspective lends an important dimension to the RFI as a tool to improve research governance in Africa-EU collaboration.

The Research Fairness Initiative (RFI) is a COHRED driven service to improve the fairness, efficiency and impact of research collaborations globally. Given our origins in "research for health", the RFI was created with the aim of improving global health, equity and development. However, with minor modifications, the RFI is also completely appropriate to be used in any other field of science collaboration. As we discovered, improving the fairness of research is also a strategic advantage in research organizations, institutions and businesses: greater fairness results in greater efficiency, longer-lasting partnerships, less conflict, improved uptake, reduced reputational risk and greater impact. The RFI is, therefore, of relevance to all key stakeholders in any research collaboration anywhere and of any duration - even though we started with the aim of increasing the research and innovation capacity of low- and middle-income countries (LMICs) in particular.

The overall impact of the RFI should be more capable research and innovation systems in all countries of the world to deal with all the important local, regional and global health and development challenges – now and in the future. The RFI is in direct support of the Sustainable Development Goals - particularly SDG 17 on Partnerships.

The RFI can be used by all organizations, institutions, businesses or government departments who engage as actors, sponsors, facilitators of research and research partnerships. In particular, the RFI has been designed for use by:

1. Government departments with a major responsibility for supporting or undertaking research including but not limited to Ministries of Science and Technology, Health, Higher Education
2. National Research and Innovation Agencies
3. Academic and research institutions/organizations
4. Private sector / Industry research divisions and organisations
5. Research funders, sponsors, and philanthropies
6. Other key stakeholders – including but not limited to – large non-profits engaging in research, international organisations and multi-national bodies, development organisations promoting and using research and innovation, and others who associate themselves as concerned stakeholders

The RFI, its logo and concept were developed by COHRED prior to the CAAST-Net Plus and remain the property of COHRED. The CAAST-Net Plus partnership, however, was instrumental in fine-tuning the RFI to be highly relevant for use in Africa-Europe science interaction and diplomacy. COHRED will pursue global implementation of the RFI as a unique mechanism focusing on fairness, efficiency and impact of research and innovation partnerships – to address global problems, to promote global health, and to reduce global inequities.

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This document was prepared by the RFI Core Writing Group: Carel IJsselmuiden, Lauranne Botti, Janis Lazdins, Jacintha Toohey, Nivedhna Sing, Kirsty Klipp, Katharina Kuss, Eric Mwangi

The current version of the RFI Implementation Guide is ready for use. It is version 1, so we are convinced it can be improved. We are welcoming any comments for improvement. Please send your comments to rfi@cohred.org or upload them on the RFI website.

Visit our website: www.rfi.cohred.org

COHRED
1 – 5 Route des Morillons
PO Box 2100
1211 Geneva 2 Switzerland
Tel: +41 22 591 89 00
Email: cohred@cohred.org
www.cohred.org

How to Use the RFI Reporting (RFI) Guide

The RFI Reporting Guide provides organizations and "RFI Teams" within organizations with the details needed to produce high quality RFI reports that may carry the RFI logo after validation. The RFI Reporting Guide provides a pragmatic and actionable approach to fairness in research collaboration and partnerships. As added benefit – more fairness in research collaborations also creates improved internal organizational efficiency in research and development.

The core of the Research Fairness Initiative (RFI) to provide a pragmatic approach to create and measure fairness in research collaboration and partnership. Through wide consultations[1], the core of the RFI has been distilled down to three ways of ensuring fairness: fairness of opportunity, fair process, and fair sharing of benefits, costs and outcomes.

DOMAIN 1: FAIRNESS OF OPPORTUNITY

DOMAIN 2: FAIR PROCESS

DOMAIN 3. FAIR SHARING OF BENEFITS, COSTS AND OUTCOMES
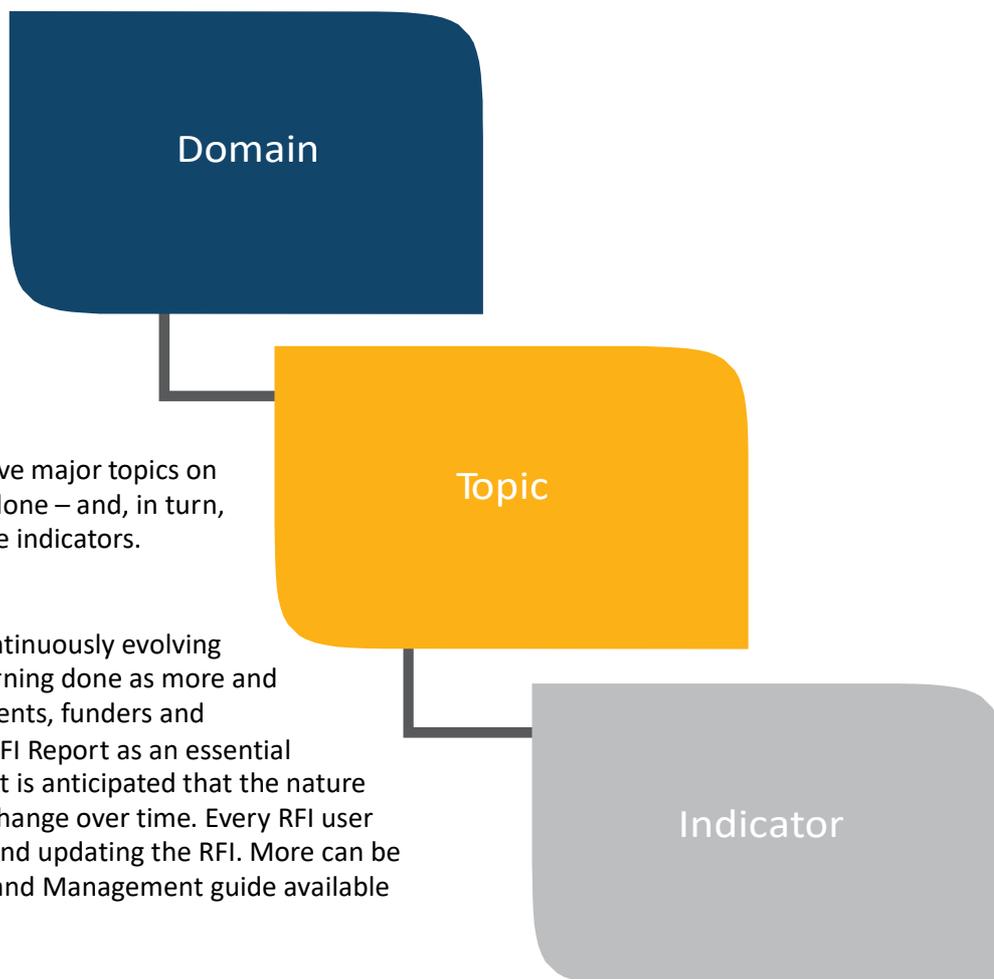
Domain

Each of these 'domains' has five major topics on which reporting needs to be done – and, in turn, each topic is assessed by three indicators.

Topic

As the RFI is designed as a continuously evolving instrument. Based on the learning done as more and more organisations, governments, funders and businesses are adopting the RFI Report as an essential part of engaging in research, it is anticipated that the nature and structure of the RFI will change over time. Every RFI user can participate in improving and updating the RFI. More can be found in the RFI Governance and Management guide available from the RFI Web.

Indicator

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[1]We have really consulted world-wide, with major stakeholders in all our main user-groups, over a period of two years. More details are provided on the RFI Web – http://rfi.cohred.org

RFI Reporting requirements

High quality reporting is done by providing quantitative and qualitative information on each of the indicators that jointly make up the RFI Report.

Comprehensive RFI reporting on each indicator is done in three intuitive ways:

1. Provide specific answers as required.

2. Provide supportive documentation to substantiate your answers.

3. Provide your short- and medium-term plans for further improvement of your organisation's actions related to this particular indicator/topic.

It is a strategic benefit for your own organization and for prospective partners – to see how future collaborations will be implemented. Keep to a 2-year time-span, so it becomes practical and measurable!

For each indicator	• Report on each indicator • Provide supportive information • Outline future actions to improve fairness and performance

Comprehensive RFI Reporting on each DOMAIN requires one more step:

4. Provide any other information on other practices your organization employs to improve research collaborations.

This is a place in the RFI Report where you can share and publish organizational best practices with practical examples, case studies and more – actions that may have been missed in the answers given to very specific indicator questions. This section allows showcasing of the many other ways stakeholders invent and use to improve research partnerships. This can include publications, video links, testimonials, evaluations or any other way in which you want to make your organization's actions in research visible.

For each domain	• Supplement the the information provided for each indicator with any other good partnership practices or actions used or promoted by your organisation

RFI Reporting: what happens next?

Once all information is presented as outlined above, the result is an "Internal(RFI) Report" – produced by the organisation's 'RFI Committee' and presented annually to the executive for consideration and action. (See RFI Implementation Guide) This report is – technically speaking – not yet an RFI Report, as it has not been validated by the RFI Secretariat[2]. For now, we will use the term "Internal (RFI) Report" to indicate the non-validated status. You may wish to give it a different name.

- The Indicators ask only for information that – in the view of the RFI global consultations – should be available for any well-functioning research organisation, business, government, funder or other key stakeholder. It does or should NOT require an additional reporting load. Have a look at the indicators and convince yourself that each of these are, indeed, indicators
  on which the organization should have information, or a policy, or an external standard in place, for example.

Yet, it is very likely that organisations cannot provide all information for each indicator – certainly not the first time that the RFI Report is being complied.

In our experience so far, the fact that RFI Reporting actually highlights absence of information that should normally be available is one of the major beneficial effects of writing the RFI report to your organization. It shows where the organization needs to improve or take action, where it may need to design new policies, or adapt an existing standard, or invest in staff training, and more.

- This observation is the rationale why the third requirement for reporting on each indicators is focused on intended short - and medium - term actions. In short, the RFI is a forward looking instrument that will help your organization find gaps, find new solutions already tried elsewhere – or find new ones, and progress over time.

For detailed and practical information on how best to constitute the RFI Committee and produce the RFI Report, please see the RFI Implementation Guide (RFI Document 3A).

A summary on validation of your organization's RFI Report is given in the RFI Implementation Guide (3A) – look at Step 5 : "Submit for RFI Validation".

NOTE :
The RFI Team is busy to enable full digitization of RFI Reporting through the RFI Web. As soon as this is completed and tested, you can choose to use the RFI Web as the main reporting portal.

"RFI Reporting actually highlights absence of information"

Domain

- 1. Fairness of Opportunity
- 2. Fair Process
- 3. Fair Sharing of Benefits, Costs and Outcomes

Topic

- 5 Topics per Domain

Indicator

- 3 Indicators per Topic

Requirements For Reporting

- 1. Report - according to specifications
- 2. Attach documentation
- 3. State plans for improvement in the next 1-2 years

RFI
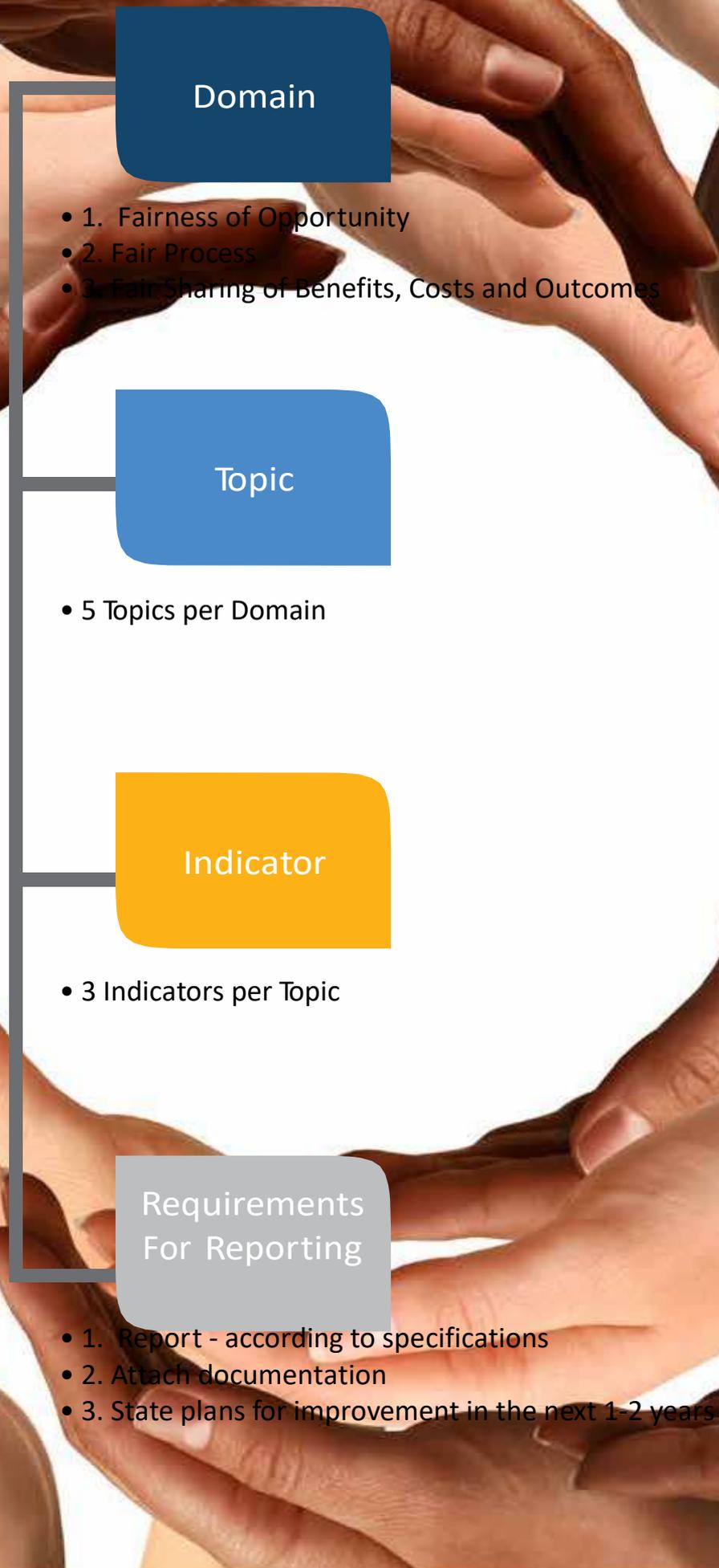
RFI DOMAIN 1: FAIRNESS OF OPPORTUNITY

Domain 1 aims to improve the participation of all concerned in research at relevant stages of research development – often well before research even begins.

Increasing fairness in the opportunity that stakeholders have to influence studies or research programmes at the stage or stages where it most impacts on their own ability to learn, contribute or participate, provides a sound foundation for respect in the current and future research partnerships. Fairness of opportunity sets the scene for the fair and efficient research conduct and the fair and efficient sharing of costs and benefits later on. Partnerships with increasing respect for the interests and limitations of other partners last longer, work more efficiently, and create more resilience to overcome inevitable partnership stress productively.

Topic 1. Relevance To Communities – in which research is done

Why is 'relevance to communities' a Reporting Topic?
Focusing on the explicit national or institutional research priorities of partner/host institutions or countries maximizes the potential for equality in research partnerships, from research preparation to conduct, to sharing benefits. Addressing the extent to which the research or innovation being undertaken is relevant to local communities can increase chances of translating important issues into sustainable solutions. Collaborative research that does not align with local interests risks fragmenting scarce expertise and resources of host countries or institutions[3].

Definitions
Relevance to the population in which research is conducted: the justification for investing in research is that it may lead to 'new knowledge' that is generic and can be of global benefit. Where it involves human and animal participation, there is a well-developed body of research ethics guidelines that outline what are acceptable risks and benefits to these participants. Research ethics guidelines deal only very marginally with risks and benefits to communities in which research is conducted, and do deal hardly or not at all with risks and benefits of research on national research system capacities. This topic intends to make explicit what collaborative research does or should do to optimize the capacity that countries or populations have to use research collaborations to further their own research system, competitiveness and contributions to national development plans.

Existing Solution(s)
- Adhering to stated international principles such as the principles of Alignment and Harmonization outlined in the Paris Declaration[4].
- Support host countries and institutions to set and regularly update their priorities in health, health research and innovation, and communicate these clearly[5678].
- Developing mutually acceptable agreements that can also deal with future priorities to ensure that this challenge does not result in stifling growth, innovation or expansion into other areas[9].
- Visit the RFI website to see an increasing body of existing solutions, practices, and guidelines that you may want to incorporate in your organisation's research partnerships: http://rfi.cohred.org

[3]World Health Organization. The WHO strategy on research for health. 2012; 1-53. http://www.who.int/phi/WHO_Strategy_on_research_for_health.pdf
[4]The Paris Declaration on Aid Effectiveness (2005) and the Accra Agenda for Action, 2008. http://www.oecd.org/dac/effectiveness/34428351.pdf
[5]Sixteenth World Health Assembly. Eleventh plenary meeting, 23 May 2007 – Committee B, second report. World Health Assembly Resolutions and Decisions. 2007; 68-71. http://apps.who.int/gb/ebwha/pdf_files/WHASSA_WHA60-Rec1/E/reso-60-en.pdf
[6]Priority setting for health research: lessons from developing countries. The Working Group on Priority Setting. Health Policy & Planning 2000; 15:130-6.
[7]COHRED. Priority Setting for Research for Health: a Management Process for Countries. http://www.cohred.org/prioritysetting
[8]Viergever RF, Olifson S, Ghaffar A, Terry RF. A checklist for health research priority setting: nine common themes of good practice. Health Research Policy and Systems 2010; 8: 36. http://www.health-policy-systems.com/content/pdf/1478-4505-8-36.pdf
[9]Trostle, J. Research capacity building and international health: definitions, evaluations and strategies for success. Social Science and Medicine. 1992; 35(11): 1321-4.

RFI

1.1.1. Research priorities in communities where research is being conducted.

     1.1.1.A.   Describe if and how does your organisation determine the health and health research priorities of countries and populations in which you conduct research?

     1.1.1.B.   If your organisation has SOPs, Policy directives or other written Guidelines that provide instruction or guidance to research leaders in your organisation on how to establish and deal with local and national research priorities in partner settings, please attach or provide URL. If you do not have such documents, state that here.

     1.1.1.C.   What steps does your organization intend to take in the next one or two years to improve its policy and practice of addressing the research priorities of communities and countries where collaborative research is being conducted?

1.1.2. Actions if there are no research priorities.

     1.1.2.A.   How does your organization proceed when – with reasonable efforts – it cannot find "credibly set and regularly updated" health and health research priorities for the population concerned?

     1.1.2.B.   If your organisation has SOPs, Policy directives or other written Guidelines that provide instruction or guidance to research leaders in your organisation on how to proceed if there are not research priorities, please attach or provide URL. If you do not have such documents, state that here.

     1.1.2.C.   What steps does your organization intend to take in the next one or two years to improve its policy and practice of conducting research in situations where there is no clearly formulated research agenda? If you provide efforts to support countries or regions to develop their research agenda as part of your engagement, please state that here and provide examples.

1.1.3. Justification to research low priority topics.

     1.1.3.A.   If it is decided that a research programme does not directly address one of the top 10 health research priorities of the population in which research will be conducted, how does your organization justify the choice of this population?

     1.1.3.B.   If your organisation has SOPs, Policy directives or other written Guidelines that provide instruction or guidance to research leaders in your organisation on how to proceed if the research they are leading does not address local or national research priorities, please attach or provide URL. If you do not have such documents, state that here.

     1.1.3.C.   What steps does your organization intend to take in the next one or two years to improve its policy and practice of conducting research in situations where the research your conduct does not clearly address the research agenda?

Topic 2. Early Engagement of Partners

Why is 'early engagement of all partners' a Reporting Topic?
Deciding on each partner's aims, methods and implementation goals and plans for participating in specific research collaborations at an early stage of the partnership is crucial to achieving mutual understanding on roles, responsibilities and contributions of individuals and institutions involved. It increases a sense of ownership and commitment resulting in increased performance and less disruptions.

Definitions
Partner engagement: An agreement made between all partners of roles, responsibilities and contributions made by individuals and/or institutions involved in the collaboration. It is negotiated rather than simply specified by a lead partner, research sponsor of business. It is done in writing and all partners have copies.

Existing Solution(s)
Research Partnerships Agreements come in many forms and formats, in almost all fields of scientific endeavour. Find them on the web, on the RFI website, or from your partners. They can take the form of formal contracts, Memoranda of Understanding (MOU) or Memoranda of Agreement (MOA), individual documents. There are no internationally acceptable standards at this stage – but many countries, institutions, research funders and businesses use proprietary agreements[10].

INDICATORS for topic 2

1.2.1. Relationship between the 'main/lead/sponsoring' and 'other' partners.

1.2.1.A.   Often there is one main partner – deciding on focus, financing or implementation or any combination. Other partners are then included as essential to achieve the research goals of the main partner. What is your organisation's policy and approach for early engagement of partners, enabling them to influence focus, financing and implementation? Describe clearly how your organisation deals with partners that mainly provide access to study populations and contribute much less to expertise, financing or focus.

1.2.1.B.   If your organisation has SOPs, Policy directives or other written Guidelines that provide instruction or guidance on dealing with inequality in partnerships, please attach or provide URL. If you do not have such documents, state that here.

1.2.1.C.   What steps does your organization intend to take in the next one or two years to improve its policy and practice of dealing fairly and productively with the relationships in unequal partnerships?

1.2.2. SOPs for partner inclusion in study design.

1.2.2.A.   Describe how and in what stage of design your organisation includes all partners in the decision making of study design and the development of study protocols and programmes?

1.2.2.B.   If your organisation has SOPs, Policy directives or other written Guidelines that provide instruction or guidance on (early) engagement of all partners, irrespective of their actual contribution in the study, please attach or provide URL. If you do not have such documents, state that here.

1.2.2.C.   What steps does your organization intend to take in the next one or two years to improve its policy and practice of early engagement and inclusion of partners in decision making?

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[10] There are many examples of partnership agreements in all field of science. A rare evaluation of impact of such agreements an be found in: Evaluation of the research partnership agreements program summary report. Bearing Point. http://www.nserc-crsng.gc.ca/_doc/Reports-Rapports/evaluations/eval_e.pdf

1.2.3. SOPs for supportive actions to partners.

1.2.3.A. Does your organisation have a standardized approach to identify areas of strength and weakness in partners included in research programmes, and, if so, what actions follow identification of gaps in expertise to design and implement studies? In instances where you are the 'weak partner' – describe how your organisation requires capacity building efforts for your own institution as part of the partnership agreement.

1.2.3.B. If your organisation has SOPs, Policy directives or other written Guidelines that provide instruction or guidance on supportive actions, especially to low and middle income country partners, please attach or provide URL. If you do not have such documents, state that here.

1.2.3.C. What steps does your organization intend to take in the next one or two years to improve its policy and practice of early engagement and inclusion of partners in decision making?

Topic 3. Making Contributions of All Partners Explicit – Fair Research Contracting

Why is 'making contributions of all partners explicit'a Reporting Topic?
The essence of high quality partnerships is good contracting[11][12]. Many of the conditions conducive to good research and innovation partnerships can be arranged through expert contract negotiation. In most research partnerships, the expertise needed for negotiations and contracting is highly skewed.[13]

Definitions
Adequate contracting competence: The capacity to be able to negotiate and conclude high quality and precise contracts between two or more partners – while ensuring fair contribution and fair value of the partnerships for one's own organization. Making contributions explicit does involve written agreements, MOUs or contracts or any combination. Negotiating contracts is different from the technical and legal aspects of contracts. Both 'contract negotiation skills' and 'contracting expertise' are essential competencies for all partners in a collaboration

Timely contracting:
enabling all prospective partners to participate in all aspects of contract formulation at a time when changes to contracts can still be made.

Existing Solution(s)
- Refer to existing guidelines like the KFPE principles.[14][15][16][17]
- Establish a competent research contracting office at national and/or institutional level. It is probably no longer a 'fair' solution to contract with individuals in institutions – instead, all contracting should be done through research contracting / management offices that are properly constituted. These offices are far better placed to ensure fairness to all – including countries, communities and organisations – and to maximize transparency (see later).
- Ensure that there is access to such competence for all stakeholders.[18]

[11]Fisher, R., & Ury, W. Getting to YES: Negotiating agreement without giving in. 1981.
[12]Fair Research Contracting. COHRED. www.cohred.org/frc
[13]Sack DA, Brooks V, Behan M et al. Improving international research contracting. Bull World Health Organ. 2009;87:487-487A.
[14]Swiss Academy of Sciences. 11 Principles & 7 Questions. KFPE's Guide for Transboundary Research Partnerships. 2012. http://www.naturalsciences.ch/organisations/kfpe/11_principles_7_questions
[15]Institut de Recherche pour le Development, Guide des Bonnes Pratiques de la Recherche pour le Developpement. 2012:2.
[16]Canadian Coalition for Global Health Research. Principles for Global Health Research. November 2015. http://www.ccghr.ca/wp-content/uploads/2015/10/CCGHR-Principles-for-GHR-FINAL.pdf
[17]For more existing best practice guidelines, please visit the RFI website: http://rfi.cohred.org
[18]Marais, D., Toohey,J., Edwards, D., & IJsselmuiden, C. (2013). Where there is no lawyer: Guidance for fairer contract negotiation in collaborative research partnerships. http://www.researchgate.net/publication/251571756_Marais_D._Toohey_J._Edwards_D._____IJsselmuiden_C._%282013%29._Where_there_is_no_lawyer_Guidance_for_fairer_contract_negotiation_in_collaborative_research_partnerships._Geneva_Council_on_Health_Research_for_Development

RFI

1.3.1. Role clarification in research partnerships.

    1.3.1.A.   Describe how your organisation arrives at an explicit statement on roles, responsibilities, fair contributions and fair benefits for all partners during the (4) key stages of the research: design, implementation, writing up, and follow up actions – before research begins? In particular, how are the following areas addressed.

- Authorship on any publication resulting from this study.
- Feedback to study population
- Follow-up Actions. [Data ownership and Intellectual Property Rights related to research projects are dealt with separately later].

    1.3.1.B.   If your organisation has a SOPs, Policy directives or other written Guidelines that provide instruction or guidance on dealing with sharing of authorship, feedback requirements to communities / populations where research was conducted, and requirements for follow up actions after research findings have been announced, please attach or provide URL. If you do not have such documents, state that here.

    1.3.1.C.   What steps does your organization intend to take in the next one or two years to improve its policy and practice of dealing with these three issues in particular: sharing of authorship, feedback requirements to communities / populations where research was conducted, and requirements for follow up actions after research findings have been announced?

1.3.2. SOPs for conflict resolution.

    1.3.2.A.   Describe how your organisation deals with conflicts arising after the commencement of a research collaboration. What mechanisms are in place? How are these mechanisms developed and agreed upon between partners?

    1.3.2.B.   If your organisation has a SOPs, Policy directives or other written Guidelines that provide instruction or guidance on dealing with conflicts in research collaborations, please attach or provide URL. If you do not have such documents, state that here.

    1.3.2.C.   What steps does your organization intend to take in the next one or two years to improve ability to minimize risk for conflict to arise, to maximize ability for early conflict resolution, and to minimize the impact of any conflicts that do arise.

1.3.3. Making potential impact explicit before starting research.

    1.3.3.A.   Describe the measures that your organisation has in place to state the explicit benefits to participant populations – at time of study and partnership development. Description of benefits can be short-, medium- and long-term, and also in the form of direct benefits to study populations and in terms of health or research system development.

    1.3.3.B.   If your organisation has a SOPs, Policy directives or other written Guidelines that provide instruction or guidance on creating explicit benefit descriptions before the research starts, please attach or provide URL. If you do not have such documents, state that here.

    1.3.3.C.   What steps does your organization intend to take in the next one or two years to improve on this, i.e. to make sure that a priori total benefit statements become part of contracts and partnership agreements?

Why is 'ensuring that matching and other co-financing mechanisms do not undermine partner opportunities' a Reporting Topic?

'Co-payments' are increasingly expected as part of partnerships. This may imply equal financial contributions even though standard of living in one partner institution or country is substantially higher/lower than in another[19]. As a result, equality in payments are not usually possible, which is often a major reason why partnership equality suffers also in other areas, such as decision-making in study design or focus.

Definitions

Matching contributions: Usually, but not always, this is used in the sense of 'making equal financial contributions', though other ratios than 50/50 can also be specified.

Fair matching contributions:

Specification of expected financial contributions that includes an accepted measure of weighing the financial contribution in terms of the partner's or partner country's overall income, standard of living, or purchasing power, or other measure of wealth.

Existing Solution(s)

• Negotiate financial contributions in terms of i) roles and responsibilities in the collaboration, ii) using a weighed measure of ability to contribute financially. For countries, World Bank listings such as GDP, GNP or status as low, lower-middle, higher-middle- and high income ranking can be used. Alternatively, organisational research budgets, hamburger equivalents, and others
are available to create a weighing. There is no generally accepted standard to measure research specific weights at this time.

"making equal financial contributions"

[19]Edejer, T. North-South research partnerships: the ethics of carrying out research in developing countries. BMJ. 1999 August 14; 319(7207): 438–441.

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RFI

1.4.1. Equal co-financing.

1.4.1.A. How does your organisation deal with differences in spending ability between partners? In particular, how does your organisation decide what would be 'fair' co-financing in terms of financial contribution to total research expenditures. How does it deal with substantial differentials in currency strength and organisational budgets of partners in a partnership? What would you consider 'fair' or 'equitable' if there are great differentials in purchasing power?

1.4.1.B. If your organisation has a SOPs, Policy directives or other written Guidelines that provide instruction or guidance on dealing with differences in financial contributions and in financial capacity to contribute, please attach or provide URL. If you do not have such documents, state that here.

1.4.1.C. What steps does your organization intend to take in the next one or two years to improve its policy and practice of dealing with the relations between research partners that contribute or that can only contribute in unequal measure?

1.4.2. Alternatives to equal co-financing.

1.4.2.A. How does your organisation measure non-financial contributions of partners? Is this made explicit? How is equality in partnership defined beyond 'equal co-financing' or 'co-financing in proportion to benefits?

1.4.2.B. If your organisation has a SOPs, Policy directives or other written Guidelines that provide instruction or guidance on dealing with non-financial contributions to research collaborations, please attach or provide URL. If you do not have such documents, state that here.

1.4.2.C. What steps does your organization intend to take in the next one or two years to improve its policy and practice of dealing with measuring non-financial contributions to research collaborations and how this will be used to off-set financial contributions?

1.4.3. Research outside national priorities and co-financing.

1.4.3.A. In research collaborations where the research does not directly address established national health or development priorities, it cannot be expected that national budgets are used to 'match' partner contributions. How does your organisation discount the absence of matching in defining equity in the partnership in such cases – i.e. consider partners equal in spite of low or no financial or other contributions?

1.4.3.B. If your organisation has a SOPs, Policy directives or other written Guidelines that provide instruction or guidance on dealing with requirements for financial or non-financial contributions when research does not address institutional or national priorities of a partner, please attach or provide URL. If you do not have such documents, state that here.

1.4.3.C. What steps does your organization intend to take in the next one or two years to improve its policy and practice of dealing with requirements for partner contributions when not dealing with institutional or national priorities?

Why is 'recognition of unequal research capacities and providing appropriate measures' a Reporting Topic?

Collaborations are key to research development.[20][21], Successful collaborations do not just depend on field-specific research expertise. Successful collaborations are also crucially dependent on the institutional / organisational ability to manage all the processes surrounding actual research – including project management, financial management, contracting and contract negotiations. A reduced capacity in any of these areas may mean reduced ability
for some partners to obtain fair terms for collaboration, to guarantee financial transparency, or the deliver projects on time. For the entire partnership, important gaps in management capacity puts delivery and quality of research results, as well as reputations at risk. There is, therefore, a special responsibility for institutions in the role of 'lead partner' to assess key management competencies of partners and to provide appropriate supporting actions where needed, as part of beginning of research collaborations.

Definitions

Research management capacity: the ability to manage research projects and programmes in terms of financing, human resources, communication, contracting and contract negotiation, and logistics. It is a collective term for using the resources needed to successfully complete research projects or programmes with most efficient use of resources, while maximizing impact. Research management is a complex field and few, if any organization, government or business, has all competencies needed - at least not in the same level of expertise.

NB. "Research Management" is also used in a narrower sense: that of project management of individual research projects. For purposes of this RFI Reporting Guide, it is used in the broader sense outlined above.

Existing Solution(s)
*   COHRED provides specific expertise in contract negotiation and contracting through its Fair Research Contracting group. See: www.cohred.org/frc
*   The ESSENCE group of research funders provides a guide on research budgeting. See: http://www.who.int/tdr/publications/five_keys/en/.
*   In accounting, there are several international standards for financial reporting. Choose one of these.

"COHRED provides specific expertise in contract negotiation and contracting"

[20]Grayson M, Pincock S. (2015) Nature Index 2015: Collaborations. Nature. 527(7577), S49.
[21]Adams, J. & Loach T. A Well-Connected World. Nature. 2015. 527(7577): S58-S59.

1.5.1. Research Management Capacity.

    1.5.1.A. Does your organisation conduct research management capacity assessments of partners – specifically when your organisation is the 'lead' partner in a research programme? How is adequacy and competence assessed, and are there mechanisms to increase this capacity as part of the partnership?

    1.5.1.B. If your organisation has a SOPs, Policy directives or other written Guidelines that provide instruction or guidance on evaluating research management capacity (within your own organisation or in partner organisations), please attach or provide URL. If you do not have such documents, state that here.

    1.5.1.C. What steps does your organization intend to take in the next one or two years to improve its policy and practice dealing with research management assessment and taking of supportive actions as part of research collaborations?

1.5.2. Financial Management Capacity.

    1.5.2.A. Does your organisation conduct a financial management capacity assessment or audit of partners – specifically when your organisation is the 'lead' partner in a research programme? How is adequacy and competence assessed, and are there mechanisms to increase this capacity as part of the partnership? What internationally accepted accounting practice to you use, and which do you require that your partners use – if you are the 'lead' partner?

    1.5.2.B. If your organisation has SOPs, Policy directives or other written Guidelines that provide instruction or guidance on evaluating financial management of research capacity (within your own organisation or in partner organisations), please attach or provide URL. If you do not have such documents, state that here.

    1.5.2.C. What steps does your organization intend to take in the next one or two years to improve its policy and practice dealing with financial management assessment and taking of supportive actions as part of research collaborations?

1.5.3. Contracting and Contract Negotiation capacity.

    1.5.3.A. Does your organisation assess contracting and contract negotiation capacity of partners – specifically when your organisation is the 'lead' partner in a research programme? How is adequacy and competence assessed, and are there mechanisms to increase this capacity as part of the partnership – especially before contracts are signed?

    1.5.3.B. If your organisation has a SOPs, Policy directives or other written Guidelines that provide instruction or guidance on evaluating research contracting capacity and on supportive measures your organisation can provide or require to increase gaps, please attach or provide URL. If you do not have such documents, state that here.

    1.5.3.C. What steps does your organization intend to take in the next one or two years to improve its policy and practice dealing with deficiencies in contracting capacities between partners in a research collaboration?

RFI

Other Information Related to Increasing "Fairness of Opportunity":

In selecting 5 topics and 15 indicators of 'Fairness of Opportunity', the RFI is inevitably over-simplifying in the pursuit of optimizing its cost-effectiveness. Your organisation may well make other contributions to improving the participation of all concerned in research at relevant stages of study development. Please describe any actions, current or past, that reflect your intent and impact in this area. This can be in the form of case-studies, actual examples, reports or third-party comments concerning such efforts.

Any additional information is welcome and encouraged

Attach documents here / provide URLs to any materials, case studies, examples, reports, etc. that you want to share to illustrate other actions your organisation is providing or requiring as part of increasing 'fairness of opportunity'.

DOMAIN 2. FAIR PROCESS

Domain 2 aims to improve fairness in how research is conducted and research partnerships and programmes are implemented. Domain 2 encourages all who engage in research collaboration to make explicit their actions in five key aspects of research programme implementation. Expectations of different partners are usually different, sometimes very different. By creating clarity in how organisations deal with these challenges in principle and in practice, research stakeholders can reduce negative consequences of miscommunications or misunderstandings and can increase the capacity of all partners to live up to the expectations that others may have of them.

Topic 6. Minimizing Negative Impact of Research Programmes on Health and Other Systems

Why is 'minimizing negative impact of research programmes on health and other systems' a Reporting Topic?

Even when collaborative research focuses on research priorities of the population in which research is conducted, there may still be harmful effects for the community. Requesting that research collaborations and partners reflect not only on the potential benefits in terms of the research topic, but also on potential negative impact on other parts of communities and countries can help avoid harmful consequences.

Examples include:
- Recruiting nurses out of the health service as trial monitors in a large clinical trial in resource- poor settings may deprive the health system of essential staff needed to deliver care.
- External researchers may cause health, cultural or social harms through the manner in which research is being conducted, results are being reported or health interventions based on the research are being implemented if they do not have sufficient access to local expertise.[22]
- Externally funded research may take up the time and resources of nationally funded institutions and experts so that locally needed research may suffer.

Existing Solution(s)
- Include an explicit review of 'side-effects' or 'non-intended consequences' and of 'opportunity costs' of research collaborations, especially where it concerns research in resource-poor populations or countries.
- Engage local scientists – and, where appropriate, community representatives – in study design and implementation.
- Ensure that communication between partners remains consistently high and examines potential negative impact throughout the collaboration.
- Use existing guidelines[23][24][25][26] for fair research partnerships and practice while preparing and conducting research are adopted during the research programme.
- Find, modify and simplify existing (environmental, biodiversity, policy, etc.) impact assessment protocols, as there is no 'research impact assessment' tool available at this time.

[22]Shuchman M, Wondimagegn D, Pain C, Alem A. Partnering with local scientists should be mandatory. Nat Med. 2014;20:12
[23]Swiss Academy of Sciences. 11 Principles & 7 Questions. KFPE's Guide for Transboundary Research Partnerships. 2012. http://www.naturalsciences.ch/organisations/kfpe/11_principles_7_questions
[24]Institut de Recherche pour le Development, Guide des Bonnes Pratiques de la Recherche pour le Development. 2012:2.
[25]Canadian Coalition for Global Health Research. Principles for Global Health Research. November 2015. http://www.ccghr.ca/wp-content/uploads/2015/10/CCGHR-Principles-for-GHR-FINAL.pdf
[26]There are many more existing guidelines. Please visit the RFI website to access more: http://rfi.cohred.org

RFI

2.6.1. Assessing potential harm of research.

    2.6.1.A. Research programmes that have large budgets or human resources and infrastructure requirements may reduce the ability for normal service delivery because of reducing access to staff and facilities, for example. This may be particularly noticeable in, but not limited to, collaborative health research in low income countries. Does your organisation conduct a 'system impact assessment' of partners – specifically when your organisation is the 'lead' partner in a research programme – and particularly when conducting research in low-resource environments? How is potential negative impact assessed, and how is it communicated between partners?

    2.6.1.B. If your organisation has SOPs, Policy directives or other written Guidelines that provide instruction or guidance for impact assessment of research collaborations in which your organisation is a partner, please attach or provide URL. If you do not have such documents, state that here.

    2.6.1.C. What steps does your organization intend to take in the next one or two years to improve its policy and practice related to impact assessment of research collaborations?

2.6.2. Reducing negative impact of research.

    2.6.2.A. Should the 'system impact assessment' demonstrate potential for unintended harm to people or services, does your organisation have policies or mechanisms in place that enable research leaders to put in place preventive actions rapidly?

    2.6.2.B. If your organisation has SOPs, Policy directives or other written Guidelines that provide instruction or guidance or budgets to prevent negative impact of research collaborations, please attach or provide URL. If you do not have such documents, state that here.

    2.6.2.C. What steps does your organization intend to take in the next one or two years to improve its policy and practice related to preventing negative impact, if any, of research collaborations – especially in low-income countries and populations?

2.6.3. Compensation for unintended (negative) consequences of research.

    2.6.3.A. If, in spite of taking adequate preventive action, there are substantial negative consequences of research programmes for individuals, populations or countries, how does your organisation deal with this effectively and adequately? How does it involve all partners? What compensatory mechanisms does your organisation make available?

    2.6.3.B. If your organisation has SOPs, Policy directives or other written Guidelines that provide instruction or guidance or budgets to provide compensation for negative impact of research collaborations, please attach or provide URL. If you do not have such documents, state that here.

    2.6.3.C. What steps does your organization intend to take in the next one or two years to improve its policy and practice related to preventing negative impact, if any, of research collaborations – especially in low-income countries and populations?

Why is 'fair local hiring, training and sourcing' a Reporting Topic?

The 'business of research' is a key benefit of engaging in research – beyond the primary knowledge generation or product/service development. Salaries for consultants, purchase of consumables and hiring of external support services can multiply the health and economic impact of research and innovation to partners well beyond direct research equipment, facilities and salaries contributed to the partnership.[2728]

Failure to come to fair agreements is likely to deprive host institutions and countries of such benefits and to favour the lead institutions or sponsoring countries.[29]

Definitions

Local sourcing and content: Refers to staff, facilities, consumables, or services used in research that are sourced from countries or institutions in which research partners are located.

Existing Solution(s)

- An explicit assessment can be done of what can be (reasonably) sourced locally or regionally, including expertise, networks and business. A plan to maximize use of local resources should become part of a best practice contract.[30]
- There is a wealth of literature on 'research capacity building'. Use one of the many guides and guidelines available from the RFI Website resource pages: http://rfi.cohred.org/ relevant-source-documents-papers-books-and-websites/

"The 'business of research' is a key benefit of engaging in research"

[27]Kitua AY, Corrah T, Herbst K et al. Strengthening capacity, collaboration and quality of clinical research in Africa: EDCTP Networks of Excellence. Tanzanian Journal of Health Research, 2009, 11: 51–54.
[28]Chu KM, Jayaraman S, Kyamanywa P, Ntakiyiruta G. Building research capacity in Africa: equity and global health collaborations. PLoS Med. 2014;11:e1001612.
[29]Costello A, Zumla A. Moving to research partnerships in developing countries. BMJ. 2000;321:827-829.
[30]Justice J. The bureaucratic context of international health: A social scientist's view. Social Science & Medicine, 1987, 25(12): 1301-1306.

2.7.1. Local staffing.

2.7.1.A.   How does your organisation decide on hiring local staff? What criteria are being used for bringing in expatriate staff in international collaborations? Does your organisation have standards or SOPs related to hiring and remuneration of local staff?

2.7.1.B.   If your organisation has SOPs, Policy directives or other written Guidelines that provide instruction or guidance on hiring local or expatriate staff, or that deal with remuneration for each group, please attach or provide URL. If you do not have such documents, state that here.

2.7.1.C.   What steps does your organization intend to take in the next one or two years to improve its policy and practice related to hiring local staff?

2.7.2. Local sourcing of consumables and services.

2.7.2.A.   How does your organisation decide on bringing in consumables from outside the country in which research is being conducted? What criteria are being used? Does your organisation have standards or SOPs related to optimizing use of local materials?

2.7.2.B.   If your organisation has SOPs, Policy directives or other written Guidelines that provide instruction or guidance on local sourcing of consumables and services, please attach or provide URL. If you do not have such documents, state that here.

2.7.2.C.   What steps does your organization intend to take in the next one or two years to improve its policy and practice related to local sourcing of consumables and services?

2.7.3. Support for local capacity development.

2.7.3.A.   Where there is lack of availability of local expert staff, or inability to produce consumables or services of sufficient quality to satisfy research standards requirements, what does your organisation do to increase local staff and/or increase ability to produce quality products and services locally?

2.7.3.B.   If your organisation has SOPs, Policy directives or other written Guidelines that provide instruction or guidance on local sourcing of consumables and services, please attach or provide URL. If you do not have such documents, state that here.

2.7.3.C.   What steps does your organization intend to take in the next one or two years to improve its policy and practice related to local sourcing of consumables and services?

Why is having 'respect for authority of local ethics review systems' a Reporting Topic?

Research Ethics Review Committees (RECs) or Institutional Review Boards (IRBs) are essential components of good research systems. Besides aiming to maximize protection for people participating in research, RECs/IRBs have influence on study design, protocol execution, population selection, benefit sharing at individual, community and, sometimes, institutional and national levels. Lack of expertise results in one-sided reviews that may often not optimize protection and benefits of host countries, institutions or populations.[31][32]

Existing Solution(s)
- There are many REC/IRB training courses available around the world. Assessment of host expertise in this field may show deficiencies, in which case remedial steps can be taken, for example, specific additional training related to research topics or provision of a budget[33] for a host to appoint a third party as a reviewer.
- Install an expert support system, such as the RHInnO Ethics platform (www,rhinno. net) or some of the many other ethics review capacity services available.
  Some are listed on the RFI website resource pages:http://rfi.cohred.org/relevant-source-documents-papers-books-and-websites/
- Most international ethics guidelines are widely read and accepted as best practice. Make an explicit statement in the RFI Report on which (one or more) are the foundation for your organisation's policies and practices in ethics review of research collaborations.

INDICATORS for topic 8

2.8.1. Research Ethics Approval.

2.8.1.A. In many types of research, but particularly in research for health, research ethics review and approval is obligatory. In international collaborative research, multiple RECs/IRBs are engaged. Most ethics guidelines state or imply that the REC/IRB representing a country or population should have final say in approving research programmes. Does your
organisation have SOPs dealing with the ethics review of research in which you participate? Does it specify the need for and process of finding local REC/IRB, and indicate where final responsibility for approval lies? Does it specify which international ethics guidelines are the basis for your organisation's policies and practices related to ethics review?

2.8.1.B. If your organisation has SOPs, Policy directives or other written Guidelines that provide instruction or guidance on ethics review requirements in collaborative research projects, please attach or provide URL. If you do not have such documents, state that here.

2.8.1.C. What steps does your organization intend to take in the next one or two years to improve its policy and practice related to increasing respect for local ethics review of research in which your organization is a partner?

2.8.2. Supporting local Research Ethics Review capacity.

2.8.2.A. Particularly, but by no means exclusively, in low- and middle-income countries or populations, there may be a lack of expertise, facilities, software or administrative competence in local RECs/IRBs. This may seriously hamper local participants but also may cause unnecessary delays in the approval process. Does your organisation have resources and plans available with which to support REC/IRB capacity to conduct high quality ethics review efficiently, such as the use of digital platforms, or access REC/IRB administrative support on-line?

2.8.2.B. If your organisation has SOPs, Policy directives or other written Guidelines that provide instruction or guidance on supportive actions for ethics review capacity in partner institutions or countries, please attach or provide URL. If you do not have such documents, state that here.

2.8.2.C. What steps does your organization intend to take in the next one or two years to improve its policy and practice related to increasing respect for local ethics review of research in which your organization is a partner?

[31]Hyder, A., Dawson, L, Bachani, A., Lavery, J. Moving from research ethics review to research ethics systems in low-income and middle-income countries. The Lancet. 2009; 373: 862–65.
[32]Krech R, Kieny MP. The 2014 Ebola outbreak: ethical use of unregistered interventions. Bull World Health Organ. 2014;92:622.
[33]Matee MI, Manyondo C, Ndumbe PM et al. European and Developing Country Clinical Trials Partnership (EDCTP): the path towards a true partnership. BMC Public Health 2009, 9, e249.

2.8.3. Enabling access to global expertise.

    2.8.3.A. Increasingly complex research is needed to deal with increasingly complex global health, environment and development problems. Even RECs/IRBs in well-resourced settings may have difficulty finding high level expertise able to provide competent ethical review of specific research project. Does your organisation have policies and resources to support all partners requiring additional ethics review capacity to obtain this independently of the main sponsor(s)?

    2.8.3.B. If your organisation has SOPs, Policy directives or other written Guidelines that provide instruction or guidance on supportive actions to provide additional ethics expertise to partner institutions or countries, please attach or provide URL. If you do not have such documents, state that here.

    2.8.3.C. What steps does your organization intend to take in the next one or two years to improve its policy and practice related to providing high level ethics expertise to support ethical decision making in partner institutions or countries?

Topic 9. Data Ownership, Storage, Access and Use

Why is having 'data ownership, storage, access and use' a Reporting Topic?

Provisions for sharing ownership of data, data storage, access to data and other collected information and use of this information can influence the benefits individuals, institutions and countries may derive from research and can reduce the research's positive impact on global health[34]. Often, conditions are written in a way that is preferential to research sponsors or high income country institutions, or, in general, to organisations that have access to expert legal support. In addition, there is often national legislation dealing with these issues – but this may still be lacking in many low and middle income countries. Even well intended requirements to 'share raw data' may put some partners at a disadvantage simply because the time period before sharing is too short to complete analyses.[35] This may result in loss of opportunity to publish or, worse, in loss of intellectual property rights.

Existing Solution(s)
- Use existing contracting guidelines such as Fair Research Contracting (FRC)[36]
- Institutions in the United Kingdom are supported in contracting between academic institutions and the private sector through the Lambert Toolkit[37]
- Use one of the many intellectual property guidelines[38][39]
- Access the services of commercial IP lawyers who will give their time for free to 'deserving causes' through PIIPA (www.piipa.org)

INDICATORS for topic 9

2.9.1. Data Ownership Agreements.

    2.9.1.A. How does your organisation decide on data ownership agreements with all partners if your organisation is the 'lead' partner? And what requirements are in place for your own organisation to share in ownership even if your organisation is not the 'lead' partner? Does financial contribution matter when deciding on data-ownership and use?

    2.9.1.B. If your organisation has SOPs, Policy directives or other written Guidelines that provide instruction or guidance for data ownership and sharing of this, please attach or provide URL. If you do not have such documents, state that here.

    2.9.1.C. What steps does your organization intend to take in the next one or two years to improve its policy and practice related to sharing data ownership?

[34]Farmer E. and Weston K. A conceptual model for capacity building in Australian primary health care research. Australian family physician 01/2003; 31(12):1139-42.
[35]Sankoh O, IJsselmuiden C, et al. Sharing research data to improve public health: a perspective from the global south. Lancet 2011; 378: 401-402.
[36]Fair Research Contracting, COHRED: www.cohred.org/frc
[37]Lambert Toolkit, UK Intellectual Property Office: https://www.gov.uk/guidance/lambert-toolkit
[38]World Health Organization. Global Strategy and Plan of Action on Public Health, Innovation and Intellectual Property. 2011.
[39]WIPO Handbook on Industrial Property Information and Documentation, WIPO Guidelines: http://www.wipo.int/standards/en/

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2.9.2. Material Transfer Agreements.

    2.9.2.A. How does your organisation decide on material transfer agreement, including storage and future use, between partners if your organisation is the 'lead partner'? And if you are not the 'lead' partner? Do you use internationally accepted MTAs or do you use other?

    2.9.2.B. If your organisation has SOPs, Policy directives or other written Guidelines that provide instruction or guidance for material transfer agreements, please attach or provide URL. If you do not have such documents, state that here.

    2.9.2.C. What steps does your organization intend to take in the next one or two years to improve its policy and practice related to material transfer agreements?

2.9.3. Rights of Use of Data for Publication.

    2.9.3.A. How does your organisation deal with rights of use of data from studies in which your organisation is a partner? What are the key considerations in sharing the rights of use of data, and ability to publish results, by all partners in a partnership?

    2.9.3.B. If your organisation has SOPs, Policy directives or other written Guidelines that provide instruction or guidance for publication agreements, please attach or provide URL. If you do not have such documents, state that here.

    2.9.3.C. What steps does your organization intend to take in the next one or two years to improve its policy and practice related to publications agreements?

Topic 10. Encourage Full Cost Recovery Budgeting and Compensation For All Partners

Why is 'encouraging full cost recovery budgeting and compensation' a Reporting Topic?

Inadequate provision for overhead costs results in chronically under-funded research institutions[40] that have no budgets for staff development, establishment of communication offices, subscriptions to professional literature, hiring contracting and negotiating expertise, purchase of IT research or ethics management systems, financial management systems, high level reporting, and so much more that makes a great research institution a great research institution.[41] It can also keep low-middle income countries and institutions in a state of perpetual dependence on decisions by expatriate partners and research funders.[42]

Definitions

Full cost recovery budgeting: Ensuring that all costs to deliver research outputs are covered in financial agreements of research partnership – and not just 'direct' costs or other selective costs like consumables, equipment or facilities. All costs, including administration, research management, communication, infrastructure upkeep, transport, and more – in short – all costs necessary to ensure that research can be done excellent and on time, are included in 'full cost recovery' budgets.

Existing Solution(s)
- Build agreements on the systems that need to be in place using the Research Fairness Initiative as a guide.
- Agreements from any lead partner or external research sponsor to engage in joint budgeting for all reasonable overhead costs – not simply allowing a maximum percentage of grant.[43]
- Providing realistic and equitable allocations to overhead costs for all partners – taking into consideration that different partners may have very different base-funding.

[40]Crane JT. Unequal 'Partners.' AIDS, Academia, and the Rise of Global Health. BEHEMOTH A Journal on Civilisation, 2010;3:78-97.
[41]Costello A, Zumla A. Moving to research partnerships in developing countries. British Medical Journal, 2000; 321:827.
[42]Wellcome Trust. House of Commons Science and Technology Committee: Science and International Development. Wellcome Trust Submission of Evidence. 2012. http://www.wellcome.ac.uk/stellent/groups/corporatesite/@policy_communications/documents/web_document/wtvm054041.pdf
[43]Nature News. Wellcome trust makes it personal in funding revamp. People not projects are the focus of longer-term grants. 2009. http://www.nature.com/news/2009/091111/full/462145a.html

RFI

2.10.1. Full Cost Recovery Budgeting.

2.10.1.A. In collaborative research, existing services and infrastructure are often taken for granted. 'Overhead' or 'indirect' costs are not adequately compensating for existing staff, facilities and services. Does your organisation require that itself and its partners do 'full cost recovery' budgeting as opposed to 'marginal' or other incomplete recovery budgeting?

2.10.1.B. If your organisation has SOPs, Policy directives or other written Guidelines that provide instruction or guidance budgeting in research partnerships, please attach or provide URL. If you do not have such documents, state that here.

2.10.1.C. What steps does your organization intend to take in the next one or two years to improve its policy and practice to achieve full cost recovery budgeting of partners in research collaborations?

2.10.2. Improving/Standardizing Budgeting.

2.10.2.A. Does your organisation assess competence of partners in providing standardized budgets? Does your organisation prescribe or recommend international research budgeting guidelines? Does your organisation provide financial expertise to partners needing support to prepare and manage research budgets?

2.10.2.B. If your organisation has SOPs, Policy directives or other written Guidelines that provide instruction or guidance budgeting and/or in supporting budgeting for research partners who may need it, please attach or provide URL. If you do not have such documents, state that here.

2.10.2.C. What steps does your organization intend to take in the next one or two years to improve its policy and practice to ensure competency and standardization of research budgeting in all partners in research collaborations?

2.10.3. External Financial Audit.

2.10.3.A. Does your organisation adhere to internationally accepted accounting practices, including the conduct of external financial audit on research programmes? Does your organisation require your partners in research to do the same, particularly, but not exclusively, when your organisation is the 'lead' partner?

2.10.3.B. If your organisation has SOPs, Policy directives or other written Guidelines that provide instruction or guidance for external financial audit of research projects, please attach or provide URL. If you do not have such documents, state that here.

2.10.3.C. What steps does your organization intend to take in the next one or two years to improve its policy and practice to ensure competency and use of external financial audit for research collaborations?

Other Aspects of "Fair Process":

In selecting 5 topics and 15 indicators of 'Fair Process", the RFI is inevitably over-simplifying in the pursuit of optimizing its cost-effectiveness. Your organisation may well make other contributions to improving fairness in how research is conducted and research partnerships and programmes are implemented. Please describe any actions, current or past, that reflect your intent and impact in this area. This can be in the form of case-studies, actual examples, reports or third-party comments concerning such efforts.

> Any additional information is welcome and encouraged

Attach documents here / provide URLs to any materials, case studies, examples, reports etc that you want to share to illustrate other actions your organisation is providing or requiring as part of increasing 'fairness of opportunity'.

DOMAIN 3. FAIR SHARING OF BENEFITS, COSTS AND OUTCOMES

Domain 3 deals with improving fairness in sharing the costs, benefits and outcomes of research. In specific, this component of the RFI focuses both on short-term costs, benefits and outcomes of individual studies, but also on the medium- and long-term impact that research collaboration can have on the ability of partners to grow their own research capacity, increase their ability to compete in attracting research and research funding, on social impact, and on future economic benefits of research in terms of economic activity, technology sector growth, and both technical and social innovations benefits accruing to all in the partnership.

Topic 11. Research System Capacities

Why is 'research system capacities' a Reporting Topic?

Any knowledge-based society needs a strong research (and innovation) system. Similarly, to be successful in business requires access to cutting-edge science. To develop this, partnering with others for expertise, funding, access to critical technologies or to populations is essential. Therefore, besides the new knowledge gained by research collaborations, a key outcome for all stakeholders is increased research capacity and ability to compete in the market for researchers, research funds and research partnerships.[44] In any consideration of research, the impact of research collaborations on institutional or national research capacity is an essential aspect.

Definitions

Research (and innovation) system: the total of institutions, individuals, governance, legislation and economic activity that contributes to research (and translating research into scalable products).

Research system capacity:

the ability of the research system to deal effectively with research needs to address local / national priorities and to be competitive in the international environment to attract the best personnel, external investments and research partnerships.

Existing Solution(s)

• There is a wealth of literature on research capacity building, and some on evaluation[45]. Much of this focuses on training of individuals rather than on increasing research system performance. Some publications are available through the RFI Website resource page:http://rfi.cohred.org/relevant-source-documents-papers-books-and-websites/

• An institution can obtain research system capacities by adopting fairness guidelines like the Research Fairness Initiative.

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[44]Adams, J. & Loach T. A Well-Connected World. Nature. 2015. 527(7577): S58-S59.
[45]See for example: http://www.who.int/tdr/publications/seven-principles/en/

RFI

3.11.1. Training.

    3.11.1.A. As part of research partnerships, does your organisation require and/or provide resources for training and higher education of research staff? If so, how does your organisation determine priorities? What proportion of budgets is spent on training? Does your organisation specify requirements or budget allocations for this purpose?

    3.11.1.B. If your organisation has SOPs, Policy directives or other written Guidelines that provide instruction or guidance for budgeting on expert level training or providing such training in other ways, please attach or provide URL. If you do not have such documents, state that here.

    3.11.1.C. What steps does your organization intend to take in the next one or two years to improve its policy and practice of providing training to or require training from partners in research collaborations?

3.11.1. Research Management.

    3.11.2.A. As part of research partnerships, does your organisation require and/or provide resources for training and higher education of staff concerned with managing research in partner-institutions? Consider 'research management staff' in a broad sense: financial, project management, communication, contract managers, community or business liaison, and more. If so, how does your organisation determine priorities? What proportion of budgets is spent on training? Does your organisation specify requirements or budget allocations for this purpose?

    3.11.2.B. If your organisation has SOPs, Policy directives or other written Guidelines that provide instruction or guidance for budgeting for or providing expert level research management training, please attach or provide URL. If you do not have such documents, state that here.

    3.11.2.C. What steps does your organization intend to take in the next one or two years to improve its policy and practice of providing research management training to or require such training from partners in research collaborations?

3.11.1. Increase (Predictable) Funding.

    3.11.2.A. Small research organisations, research organisations in countries where there is little national research financing, or research and innovation 'start-ups' can successfully apply for competitive grants. Competitive grant-making favours large research bodies over smaller, and works better in research systems that have predictable basic financing mechanisms available to support periods in which organisations do not have access to competitive grants. Does your organisation support partners to become better able to access competitive grants, and to advocate national authorities to increase research system funding in a more predictable manner?

    3.11.2.B. If your organisation has SOPs, Policy directives or other written Guidelines that provide instruction or guidance for supporting partners from resource-poor settings or require this to be provided from partners or sponsors in high income settings, please attach or provide URL. If you do not have such documents, state that here.

    3.11.2.C. What steps does your organization intend to take in the next one or two years to improve its policy and practice of supporting the growth of predictable financing as part of collaborative research?

Topic 12. Intellectual Property Rights and Tech Transfer

Why is 'intellectual property rights and tech transfer' a Reporting Topic?
> Unfair provisions of sharing intellectual property rights will affect the individuals, institutions and countries that have participated or invested in the research negatively, reducing the potential benefits they would have received if intellectual property rights were shared.[46]

Existing Solution(s)
- Use existing contracting guidelines such as 'WIPO Standards, Recommendations and Guidelines.'[47]
- Use the services of national IP offices, or organisations like PIIPA (www.piipa.org)
- Engage with COHRED's Fair Research Contracting team

INDICATORS for topic 12

3.12.1. Technology Transfer.

> 3.12.1.A. Does your organisation have SOPs or standard guidelines on technology transfer, specifically to partners in low- and middle-income countries and populations?

> 3.12.1.B. If your organisation has SOPs, Policy directives or other written Guidelines that provide instruction or guidance on technology transfer to research partners, please attach or provide URL. If you do not have such documents, state that here.

> 3.12.1.C. What steps does your organization intend to take in the next one or two years to improve its policy and practice of technology transfer?

3.12.2. Sharing Intellectual Property Rights.

> 3.12.2.A. Does your organisation have explicit pre- and post-research discussions and negotiations with all partners concerning the sharing of IPR – now and in the future? How are disagreements dealt with? If you make no provision for sharing, how do you justify 'fairness' in research partnerships? While addressing this particular indicator and topic, reflect on all patents, trademarks, industrial designs and plant varieties that have or should have intellectual property rights linked to them.[48] Familiarise yourselves with the right to file applications for registration at an international level for trademarks with the Madrid System, or the Hague System for industrial design protection.[49]

> 3.12.2.B. If your organisation has SOPs, Policy directives or other written Guidelines that provide instruction or guidance sharing of IPR with research partners, please attach or provide URL. If you do not have such documents, state that here.

> 3.12.2.C. What steps does your organization intend to take in the next one or two years to improve its policy and practice of sharing IPR with partners in research collaborations?

3.12.3. Contracting Support for IPR.

> 3.12.3.A. Contracting for IPR is notoriously complex, and the field is rapidly changing. Even accomplished partners in high-income countries may not be able to remain up to date to the extent that competent contracting can be done. How does your organisation provide (as 'lead' partner) or require (as 'other partner') support for IPR contracting to ensure fairness?

> 3.12.3.B. If your organisation has SOPs, Policy directives or other written Guidelines that provide instruction or guidance obtaining or providing IP contracting support, please attach or provide URL. If you do not have such documents, state that here.

> 3.12.3.C. What steps does your organization intend to take in the next one or two years to improve its policy and practice of supporting partners or requiring support from partners to better negotiate IPRs in research collaborations?

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[46]Farmer E. and Weston K. A conceptual model for capacity building in Australian primary health care research. Australian family physician 01/2003; 31(12):1139-42.
[47]WIPO, List of WIPO Standards, Recommendation and Guidelines: http://www.wipo.int/standards/en/part_03_standards.html
[48]WIPO, 2015. World Intellectual Property Indicators. Economics and Statistics Series. WIPO Publications: Geneva.
 ibid

Why is 'innovation system capacities' a Reporting Topic?

> For purposes of this RFI Reporting Guide, we define 'innovation system capacity' as the ability of countries or institutions to transform research knowledge into useful and scalable products or services. Countries with high innovation system capacities benefit from spin-off economic activities where innovations can be produced, jobs can be created and new patents can be locally filed. Thus, many benefits result from innovation system capacities that are created beyond the primary knowledge generation or product/service development and beyond direct impact on health of a population.[50]

Existing Solution(s)

- Create specific commercialization plans, and support partners' ability to take new knowledge into production for scalable solutions.[51][52]
- Refer to increasing impact evaluations of 'innovation hubs'.
- Involve Ministries of "Trade and Industry" in research partnership design.

INDICATORS for topic 13

3.13.1. Localizing innovation.

> 3.13.1.A. Does your organisation include in research contract negotiations and in research partnership agreements clear statements on how future spin-off economic activities resulting from the research will be shared with all partners?

> 3.13.1.B. If your organisation has SOPs, Policy directives or other written Guidelines that provide instruction or guidance on localizing innovation capacity to research partners, please attach or provide URL. If you do not have such documents, state that here.

> 3.13.1.C. What steps does your organization intend to take in the next one or two years to improve its policy and practice of localizing innovation system capacities?

3.13.2. Financing to link Research with Innovation.

> 3.13.2.A. Does your organisation take responsibility for financing actions following conclusion of research that deal with producing scalable products or services?

> 3.13.2.B. If your organisation has SOPs, Policy directives or other written Guidelines that provide instruction or guidance on taking responsibility to follow through research knowledge generation with creating scalable products or services, please attach or provide URL. If you do not have such documents, state that here.

> 3.13.2.C. What steps does your organization intend to take in the next one or two years to improve its policy and practice of moving beyond research to innovation?

3.13.3. Support Innovation Culture.

> 3.13.3.A. If your organisation does not provide finances to support innovation, does your organisation facilitate institutional or national discussions on this matter – supporting partners to make sure that research does not end with publications only?

> 3.13.3.B. If your organisation has SOPs, Policy directives or other written Guidelines that provide instruction or guidance on stimulating transformation from knowledge into scalable products or services, please attach or provide URL. If you do not have such documents, state that here.

> 3.13.3.C. What steps does your organization intend to take in the next one or two years to improve its policy and practice of advocacy and stimulation of an innovation culture?

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[50]Heierli U, Lengeler CHRISTIAN. Should bednets be sold, or given free. The role of the private sector in malaria control. 2008.
[51]Gardner CA, Acharya T and Yach D. Technological and social innovation: a unifying new paradigm for global health. Health Affairs. 2007 Jul-Aug;26(4):1052-61.
[52]Free MJ, Green JA, Morrow MM. Health technologies for the developing world. Promoting self-reliance through improving local procurement and manufacturing capabilities. Int J Technol Assess Health Care. 1993, 9(3):380-96.

RFI

Why is 'due diligence' a Reporting Topic?

Excellent research requires excellent research institutions, which in turn can be boosted by a system conducive to research and innovation. Inadequate provision for minimizing the environmental, social and cultural impact of research and innovation activities may limit future research opportunities of institutions or countries. Similarly, positive actions should be reflected upon and adopted whilst conducting research, such as following and implementing the Sustainable Development Goals (SDGs) and encouraging women's participation in science.

Existing Solution(s)

- Conduct a pre-research assessment to identify key areas on environmental impact in the context of the research that is being contemplated.
- Create a plan that addresses these environmental, social and cultural concerns without detracting from the primary research purpose and without (unreasonable) increase in project costs. [53]
- Refer to national and international guidelines stimulating the equal participation of women in science.

INDICATORS for topic 14

3.14.1. Promoting participation of women in science and innovation.

3.14.1.A. Does your organisation assess or have criteria for its own workforce, and for that of its partners, concerning the participation of women in science, at all levels of research? Are there guidelines to act if inequity is found? [In cases where there is an under representation of men, the same applies to dealing with this inequity.]

3.14.1.B. If your organisation has SOPs, Policy directives or other written Guidelines that provide instruction or guidance on equal participation of women in science – in your own institutions or in partner institutions, please attach or provide URL. If you do not have such documents, state that here.

3.14.1.C. What steps does your organization intend to take in the next one or two years to improve its policy and practice of increasing women's participation in research collaborations?

3.14.2. Negative environmental impact.

3.14.2.A. Does your organisation have explicit policies or practices to ensure that research programmes asses, report and minimize environmental impact?

3.14.2.B. If your organisation has SOPs, Policy directives or other written Guidelines that provide instruction or guidance on minimizing environmental impact of research collaborations, please attach or provide URL. If you do not have such documents, state that here.

3.14.2.C. What steps does your organization intend to take in the next one or two years to improve its policy and practice of reducing environmental impact of research?

3.14.3. Achieving SDGs.

3.14.3.A. An overarching mechanism to support global development is to make positive contributions to the Sustainable Development Goals (SDGs). Does your organisation have explicit executive policies or strategies to maximize the contributions of its research collaborations towards achieving one or more SDGs?

3.14.3.B. If your organisation has SOPs, Policy directives or other written Guidelines that provide instruction or guidance synergizing research collaborations with achievement of SDGs (or other development goals), please attach or provide URL. If you do not have such documents, state that here.

3.14.3.C. What steps does your organization intend to take in the next one or two years to improve its policy and practice of aligning your research efforts with organizational support to achieve SDGs?

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[53] Acharya T. Science and technology for wealth and health in developing countries. Global Public Health. 2007;2(1):53-63. doi: 10.1080/17441690600673833.

Why is the 'expectation of all partners to adhere to a best practice standard in research collaborations' a Reporting Topic?

An institution or national body that adopts and follows nationally and/or internationally accepted best practice standards and guidelines is more likely to deal pro-actively with challenges and potentials of creating solid partnerships, is likely to have more lasting and efficient research relationships, will reduce its reputational risk and will have more credibility within its network of potential collaborators.

Existing Solution(s)

* There are several existing guidelines from a variety of organisations and countries – covering key aspects of the RFI. Adopt one or more as basis for organisational behaviour and making sure that key staff involved with research collaborations are aware of this. Examples include guidelines like the KFPE[54] , IRD[55] and the CCGHR[56] to name a few. More can be found at the RFI Website Resource Page: http://rfi.cohred.org/relevant-source-documents-papers-books-and-websites/

INDICATORS for topic 15

3.15.1. Partner Requirements for Fair Research Partnerships.

3.15.1.A. Does your organisation require its partners to produce RFI Reports on their own organisations, or to make explicit statements about adoption and use of existing codes of research practice? If not, how does your organisation create a culture of fairness in its research collaborations?

3.15.1.B. If your organisation has a SOPs, Policy directives or other written Guidelines that provide instruction or guidance on requirements for corporate behaviour in research collaborations and partnerships, please attach or provide URL. If you do not have such documents, state that here.

3.15.1.C. What steps does your organization intend to take in the next one or two years to improve its policy and practice of requiring its partners to produce RFI Reports or make explicit statements on adoption and use of existing guidelines?

3.15.2. Sponsor Requirements for Fair Research Partnerships.

3.15.2.A. Does your organisation require its sponsors or funders to be RFI subscribers, or to make explicit statements about codes for fairness in funding in research and innovation? If not, how does your organisation ensure or attempt to ensure that research funder or sponsor demands do not create unfairness in partnerships?

3.15.2.B. If your organisation has a SOPs, Policy directives or other written Guidelines that provide instruction or guidance on requirements for research funder or research sponsor behaviour in research collaborations and partnerships, please attach or provide URL. If you do not have such documents, state that here.

3.15.2.C. What steps does your organization intend to take in the next one or two years to improve its policy and practice of requiring its sponsors and funders to produce RFI Reports or make explicit statements on adoption and use of existing guidelines?

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[54]Swiss Academy of Sciences. 11 Principles & 7 Questions. KFPE's Guide for Transboundary Research Partnerships. 2012. http://www.naturalsciences.ch/organisations/kfpe/11_principles_7_questions
[55]Institut de Recherche pour le Development, Guide des Bonnes Pratiques de la Recherche pour le Developpement. 2012:2.
[56]Canadian Coalition for Global Health Research. Principles for Global Health Research. November 2015. http://www.ccghr.ca/wp-content/uploads/2015/10/CCGHR-Principles-for-GHR-FINAL.pdf

3.15.3. Fair Research Contracting.

    3.15.3.A. Does your organisation have a research office that contracts and administers research funds? Does your organisation require that its research leaders, project managers or legal staff have an exposure to mechanisms and resources for fair research contracting[57] – through course attendance, talks, web-site visits, or in any other way? How does your organisation engender a culture of 'fairness' in the contracts it negotiates and concludes?

    3.15.3.B. If your organisation has a SOPs, Policy directives or other written Guidelines that provide instruction or guidance on requirements for research management staff to be trained and updated on 'fair research contracting', please attach or provide URL. If you do not have such documents, state that here.

    3.15.3.C. What steps does your organization intend to take in the next one or two years to improve its policy and practice of requiring research management staff to be trained and remain updated on best practices in fair research contracting?

Other Aspects of "Fair Sharing of Benefits, Costs and Outcomes":

In selecting 5 topics and 15 indicators of 'Fair sharing of benefits, costs and outcomes", the RFI is inevitably over-simplifying in the pursuit of optimizing its cost-effectiveness. Your organisation may well make other contributions to improving fairness in sharing the costs, benefits and outcomes of research. Please describe any actions, current or past, that reflect your intent and impact in this area. This can be in the form of case-studies, actual examples, reports or third-party comments concerning such efforts.

> Any additional information is welcome and encouraged

Attach documents here / provide URLs to any materials, case studies, examples, reports etc that you want to share to illustrate other actions your organisation is providing or requiring as part of increasing 'fairness of opportunity'.

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[57]For example, COHRED's Fair Research Contracting service: www.cohred.org/frc

RFI

1. INTERNALLY

promotes alignment with organizational values

increases research ("R &D") efficiency

improves quality, cost-effectiveness and impact of partnerships

2. EXTERNALLY

Creates clarity and transparency for partners and stakeholders

Creates fairness right from the start

Attracts those you want to work with

Demonstrates responsible corporate / organizational citizenship in R&D

Highlights organizational innovation

3. GLOBALLY

Builds the global evidence-base on research collaboration

Encourages use and development of standards, benchmarks and best practices

Contributes to the global research capacity needed for health, equity and sustainable development

Research Fairness Initiative - For Whose Benefit?

Important RFI contact information

RFI Web Portal	http://rfi.cohred.org
RFI Support	http://rfi.cohred.org/support
RFI Resources	http://rfi.cohred.org/resources
RFI Frequently Asked Questions	http://rfi.cohred.org/FAQ
Email contact	rfi@cohred.org
RFI Report Submission	http://rfi.cohred.org/validation

RFI