

Solutions to global health, equity and development through research and innovation in low- and middleincome countries



#### Carel IJsselmuiden

**Research Fairness Initiative (RFI)** PNHRS Meeting, Palawan, 10 August 2016



Research Fairness Initiative (RFI)



www.cohred.org rfi.cohred.org The Research Fairness Initiative aims to improve global health, equity and development by improving research partnerships – locally and globally.

The RFI aims to make (health) research collaboration *more fair*, to *increase trust* between partners, and to *stimulate research and research management performance* locally and globally.

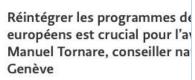


Accueil ) Opinions / La recherche suisse en danger!



#### La recherche suisse

3 minutes de lecture





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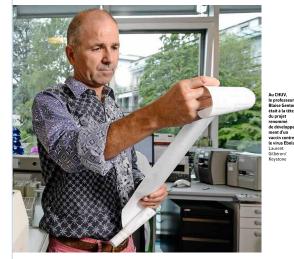
«La collaboration avec des chercheurs étrangers est indispensable»

#### **Blaise Genton**

pas de la ligne de so et la priorité reste d'appliquer cette volontes, assène-t-il d'entrée. Autrement dit, les efforts de 2020 pour les échanges entre chercheurs lui la Suisse doivent se dédier à la mise en œuvre paraît très relative «Les meilleures université la Jussie duiven se ubuer a la linsé en covre paraît des readres x46s inenicoltes omeranes de l'initiative contre l'immigration de masses, se situent aux Etats-binis et au Royaume-Jini, qui veut abolir la libre circulation des personnes, ce qui justement fache Bruxelles et met la coo- La Suisse devrait developper sa coopération pération scientifique avec l'UE sur la sellette. scientifique avec ces deux pays, ainsi qu'aver Pour l'ex-candidat au Conseil fédéral, l'apport purement financier d'Horizon 2020 reste mi-nime. «Les projets suisses reçoivent presque changement de paradigime dans la necherche. autant que ce que nous versons: le taux de re-«Les investisseurs privés devraient jouer un rôle tour avoisine les 102%. L'argent est là Il suffit plus important. Dans le même temps, la Confé 

Des chercheurs plaident pour le programme Horizon 2020 et la collaboration avec l'Union européenne

### **CE SE DÉFEND**



mais aussi de former la relève puis, le programme facilite suisse et étrangère. «Dans le cas du vaccin contre Ebola, des col-Le médecin poursuit, invo-quant des problèmes financiers potentiels. «Actuellement, la institutions en Europe», conti-Confédération paie pour ur nue de plaider Blaise Genton. «Huit institutions sont implisolution transitoire jusqu'à fi 2016. Mais si l'exclusion de la Suisse d'Horizon 2020 s'ancrai quées dans nos recherches durablement, on peut douter de dispositif actuel se révélerait très la noursuite de ce soutien » San compliqué», observe Adrian Jäggi. assumerait la totalité de la fa ture, ce qui grèverait le budge Perte d'attractivité fédéral, déjà objet d'intense Que se passerait-il si la Suisse se faisait exclure du programme luttes politiques au parlem dans le contexte actuel de cure Horizon 2020? Pour le Bernois, d'austérité. En outre, pour mener des pr jets similaires en mode «cavalier seul», la Suisse devrait inviter des chercheurs étrangers à s'ins cinq personnes qui travaillent matière de qualité. «Nous ne fe- taller sur son territoire. «Mai n screating cass for das equipo territoria de la construcción de la c l'immigration de masse».

#### Fonds national suisse: alternative floue

Movennant un «effort financier supplémentaire», le Fonds natio-nal suisse (FNS) pour la recherche pourrait suppléer aux finance-ment européens, au cas où ceux-

ci venaient à disparaître. Imaginons que Bruxelles expulse Berne définitivement d'Horizon 2020. Les financements européens disparaîtraient. Comment v supléer? Le Fonds national suiss (FNS) pourrait-il s'en charger? Si le Secrétariat d'Etat à la formation, à a recherche et à l'innovation (SE-FRI) le lui demandait «le FNS pourrefine intermational de la confederation au construction da autorità de sup-trait mettres que la construction de la confederation au construction de la construction de nécessiterait un effort financier programme.

prévient le FNS, L'épisode des Ten porary Backup Schemes (TBS) montré une chose capitale: de tell solutions ne sont pas durables surfout ne compensent absolumer as la perte d'influence, de stim lation et de réputation scientifiqu que permet une participation à Horizon 2020 aux chercheurs Le chercheur bernois Adrian Jäggi s'inquiète également. «Le FNS se concentre peu sur les collabor-

Horizon 2020.» >> PBO

LALIBERTE VENDREDI 22 JUILLET 2016

FAIT DU JOUR 3

#### développent des facultés qu'ils pourront ensuite utiliser chez rian Jäggi La collaboration L'emploi en profite également Fonctionner en équipe sans le vec des en Suisse, fait valoir le médecin lausannois. «Notre projet a débouché sur la création de hercheurs onze postes. Sur un budget de trangers est 1.7 million d'euros, 1.3 million **idispensable**» est dédié aux emplois. La grande majorité de nos collaborateurs Blaise Gentor sont des Suisses.» Même si l'impact s'avère moindre du côté de «notre pays deviendrait moins es frais peuvent également être tés. «En se mettant ensemble, elvient possible de travailla ni fagie fini étata «de fricultes à se tenir à niveau «en ns certains cas sur des équiner certains partenaires», com-te Blaise Genton.

tre projet ne pourrait proba-ment pas se réaliser, car cha-

n y contribue avec ses connaisices spécifiques», abonde

20

Human Brain Project fédérale de Lausanne

our sans collaboration

iduire des projets novateurs, ment, sans trop de politique. Et Genton.

laborateurs de pays africains

supplémentaire, que les budget actuellement en discussion ne préplus pressé n'a rien de la panacé voient pas», précise Angelika Kalt. Le FNS possède déjà une certaine expérience dans le rôle du pompier: suite à la votation du 9 février 2014.

il avait développé l'instrument «Temporary Backup Schemes», qui permettait de remplacer les bourses individuelles attribuées aux meilleurs chercheurs par Horizon 2020 (les «ERC»). En d'autres termes, le FNS payait en lieu et place de l'UE pour les scientifiques suisses subitement électés du partenariat euro-tions avec l'étranger. Des accord



## the logic of the RFI





## General Logic



- 1. RFI is a STRATEGIC MANAGEMENT TOOL for research institutions, organizations, governments, business to examine their internal policies and practices
- 2. Determinants of FAIRNESS are also determinants of COMPETITIVENESS for strong partnerships
- 3. RFI applies equally to ALL partners and partnerships
- 1. The GLOBAL impact of RFI is a result of collective local impact
- 2. REPORTING on local & global impact can increase awareness and establish benchmarks and best practices



## General Logic

- Research funding
- Technology transfer
- Access to expertise
- Institution building / system building
- Wider access to grants consortium approach
- Greater links to business, venture capital
- In other words: impact and competitiveness
- But ... only if partnerships work for ALL partners



## RFI

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# What problems does the RFI address?



What problems does the RFI aim to address?



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### **Common problems in research partnerships**

- Unequal opportunities to shape the research agenda
- Unequal access to training and capacity building opportunities
- Unequal support for indirect costs and infrastructure costs
- Unequal credit and recognition for research contributions
- Unequal access to data and intellectual property
- Unequal compensation for participation in research partnerships
- and ....

#### **OPINION**

 
 Sci Dev Net
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 Agriculture
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Report slams inequalities in research partnershi

BUSINESS & PROFESSIONAL ETHIC DOI: 10.5840/bpej20123116

### Poverty, Disease, a Low- and Middle-I The Roles and Res Pharmaceutical Co

### Partnering with local scientists should be mandatory

Miriam Shuchman, Dawit Wondimagegn, Clare Pain & Atalay Alem

The problem of inequity in international research is perpetuated by policies that enable scientists to conduct research in lower-Anth resourced areas of the world without partnering with local researchers. The World Health Organization (WHO) needs to lead in solving this problem by working with research institutions, journal editors and funding agencies to document the degree of inequity and to impose penalties for failures to collaborate.

What snourd be trie princip research in developing o practice overemphasise the ignore issues like owners development of national rese that the research model sup agencies remains semicolo domination in setting resear management may have nega outweigh the apparent be findings. National academic need to be involved if research practice. The deterioration is in many developing countrie part of any research investn research partnership, which funding agencies, rests on for Mutual trust and shared d

- National ownership
- Emphasis on aetting rese



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### **Q&A: Giving a Southern voice to research** partnerships

Henning Melber is the director emeritus of the Dag Hammarskjöld Foundation, a global policy think-tank based in Sweden.

In this podcast, he explains why North-South research collaborations are failing in their responsibility to valorise and incorporate experiences and knowledge from the developing world. If these partnerships are to be fruitful, a major shift away from the 'Eurocentric' vision of what makes

Klaus M. Leisinger



What problems does the RFI aim to address?



- RFI is about FAIRNESS in research partnerships
- Applicable to ALL research partnerships
- The RFI was started in the context of HEALTH research, but applies to any research context and any form of partnership
- NOT just about NORTH-SOUTH partnerships





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## How will the RFI address these problems?



How will the RFI address these problems?

www.cohred.org rfi.cohred.org • Co-creating a PRACTICAL TOOL to operationalize "fairness"

- 'beyond guidelines'
- Encouraging SELF-REFLECTION by all research organizations
  - public, private, funders, non-profits, governments, PPPs, ... )
- Stimulating INSTITUTIONAL REPORTING to facilitate better understanding
  - INTERNAL and then EXTERNAL
- SHOWCASING policies, practices and strategies that effectively address problems of fairness
- TRACKING, MEASURING AND REPORTING on the global state of fairness in research partnerships
  - Developing benchmarks and best practices

#### CCGHR Principles for Global Health

Health inequities are often avoidable consequences of actions and contexts that disproportionately advantage some groups over others. These negatively affect human rights, including the right to health. Global health research aims to promote greater equity worldwide. The principles of Authentic Partnering, Inclusion, Shared Benefits, Commitment to the Future, Responsiveness to Causes of Inequities,

and Humility encourage resea ethical and equitable forms of were developed through a mul process in response to a call fo administrators who indicated global health research.

authentic partnering









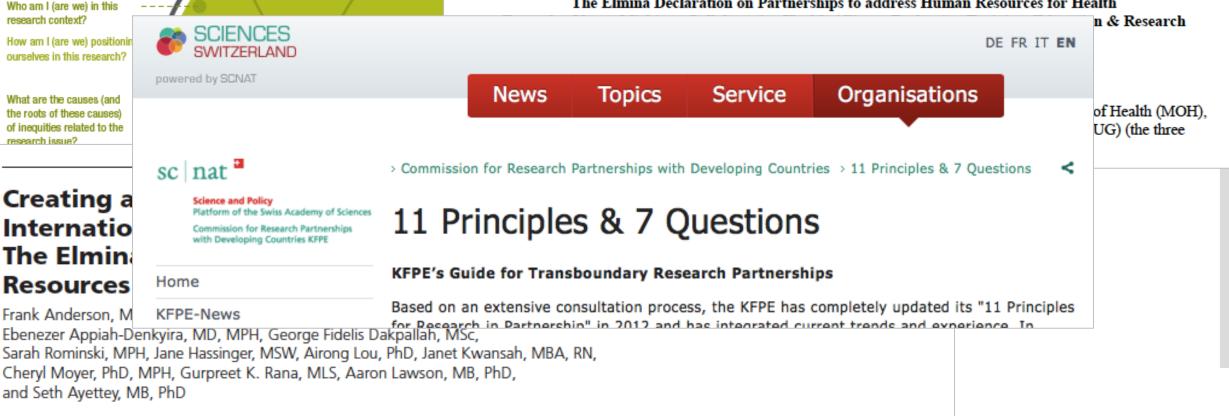
UNIVERSITY OF CHARA



Preamble: This document is a Charter for Collaboration which describes the partnership between groups working in Michigan, USA and Ghana to improve human resources for health funded by the Bill and Melinda Gates Foundation

MINISTRY OF REALTH

#### The Elmina Declaration on Partnerships to address Human Resources for Health





## Research Fairness in Practice





RFI Reporting Guidelines:

• 3 dimensions

• 15 topics



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#### **Fairness of Opportunity**

- 1. Relevance to communities in which research is done
- 2. Early engagement of all partners in deciding about aims, methods, implementation
- 3. Making contributions of all partners explicit before projects reach a 'no-return' phase, ensuring 'fair value' for all <u>before</u>, <u>during</u> and <u>after</u> research
- 4. Ensuring that 'matching' and other co-financing mechanisms do not undermine opportunities for fair participation of all partners
- 5. Recognition of unequal research management capacities between partners and providing for appropriate corrective measures negotiation, contracting, language, financial management systems



## RFI Reporting Guidelines:

• 3 dimensions

• 15 topics



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#### Fair Process

- 6. Minimizing negative impact of research programmes on health and other systems divert human and other resources away from essential services and care
- 7. Fair local hiring, training and sourcing staff, consumables and other support
- 8. Respect for authority of local ethics review system possible measures to enhance this
- 9. Data ownership, storage, access and use during and after research
- 10. Encourage 'full cost recovery' budgeting and compensation for all partners



RFI Reporting Guidelines:

- 3 dimensions
- 15 topics



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#### Fair Sharing of Benefits, Costs and Outcomes

- **11. Research System Capacities** improvements to ensure local research systems become more competitive, better able to take the lead in future
- **12. Intellectual Property Rights and Technology Transfer** specific measures to share IP Rights in collaborative research
- **13.** Innovation System Capacities Measures to optimize localisation of spin-off economic activities, scaling ability and culture of innovation
- **14.** Due diligence efforts minimizing negative environmental, social and cultural impact; achieving SDGs; increasing women in science
- **15. Expectation of all partners to adhere to a best practice standard in research collaborations** such as Research Fairness Initiative or other such efforts (see the RFI website)



## Where is the RFI today?





the RFI Today



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#### 1. Preliminary ARCHITECTURE of fairness in research partnerships

- Three dimensions of fairness (i.e. opportunity, process, outcome)
- Five key topics within each dimension of fairness

#### 2. Coherent framework to TEST LOCAL RELEVANCE

- Does it resonate with local experience?
- Are there dimensions of fairness or key domains missing?
- What are the best specific questions to understand current practices for each domain?
- How best can the RFI be implemented locally?
- What are the resource implications?
- What are the benefits?
- 3. PILOTING is critical for the on-going development of the RFI.

4. RFI is a product of CO-CREATION and EVOLUTION over time



## the RFI Today



www.cohred.org rfi.cohred.org The RFI has been designed as a REPORTING SYSTEM and as a global LEARNING PLATFORM

#### 1. RFI as a **REPORTING SYSTEM**

- <u>3 Dimensions 15 Topics</u>
  - Work is going on to develop the *INDICATORS*
  - And to prepare *a BASIC REPORTING FORMAT* web and hard-copy
- Implementation Guidelines
  - Guide for INTERNAL STRATEGIC REPORTING
  - Guide for EXTERNAL CORPORATE REPORTING

#### 2. RFI as a global **LEARNING PLATFORM**

- Web Portal
- User-base, Access Rules, Benchmark Development
- Administration, Management, Governance
  - Making co-creation a reality
- Financial Sustainability



## the RFI Today (3)



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## RFI – Critical Users

- 1. Government Departments, National Research Agencies
- 2.Research and Academic Institutions
- 3. Research Funders and Sponsors
- 4.Business
- 5.Non-Profit Organisations
- 6."Other" *large public-private partnerships*



## the RFI Today (4)



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## RFI – additional discussion points

- 1. RFI is based on premise that ultimately sustainable development is crucially dependent on science and innovation
- 2.Health Research –> Research for Health –> Science
- 3. "Index" vs "Initiative"
- 4.RFI evolving over time there is still lots to learn
  - Developing 'benchmarks', 'best practices', key examples
  - Not an 'external standard' but a product of collaborative learning



## Some common concerns





## Common Concerns



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### • Reporting

- What gets reported?
- In what form?
- Who will have access?
- How will reports be used?
- Confidentiality
  - What happens if the RFI process turns up potentiall damaging information?
- How will my organization benefit by implementing the RFI – what is the value proposition ?
  - COSTS associated with implementing the RFI
  - Implementing the RFI as a STRATEGIC LEVEL



RFI, the Philippines, Asia, Global







## Imagine that

•••



- You could select the university you could partner with
- It is you who decides on the donor / funder
- The pharmaceutical partner is your choice
- (as high income partner) you can choose the country where you are going to work
- (or, as donor) is is up to you to choose where to spend on research
- Would you prefer an RFI Reporting Partner ?



## Thank you!





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COHRED Website: www.cohred.org

