

*Solutions to global health, equity and development  
through research and innovation in low- and middle-  
income countries*



*Carel IJsselmuiden*

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

# Research Fairness Initiative (RFI)



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.



OPINION

## La recherche suisse

### Réintégrer les programmes de l'Union européenne est crucial pour l'avenir de la recherche suisse

Manuel Tornare, conseiller national socialiste, Genève

3 minutes de lecture

Manuel Tornare, conseiller national socialiste, Genève

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# «La collaboration avec des chercheurs étrangers est indispensable»

## Blaise Genton

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

## LA SCIENCE SE DÉFEND



Au CHUV, le professeur Blaise Genton était à la tête du projet renommé de développement d'un vaccin contre le virus Ebola. Laurent Gillieron / Keystone

Le projet ne pourrait probablement pas se réaliser, car ça n'y contribue avec des connaissances «spécifiques», abonde-t-il.

**La collaboration avec des chercheurs étrangers est indispensable»**

Blaise Genton

Les frais peuvent également être élevés. «In se mettant ensemble, certains cas sur des équipements coûteux mis à disposition par certains partenaires», commente-t-il.

Enfin, selon Blaise Genton, Horizon 2020 permet de «monter des projets professionnellement, sans trop de politique. Et

mais aussi de former la relève suisse et étrangère. «Dans le cas du vaccin contre Ebola, des collaborateurs de pays africains ont développé des facultés qu'ils pourront ensuite utiliser chez eux».

L'emploi en profite également en Suisse, fait valoir le médecin lausannois. «Notre projet a débouché sur la création de onze postes. Sur un budget de 1,7 million de francs, 1,3 million est dédié aux emplois. La grande majorité de nos collaborateurs sont des Suisses». Même si l'impact s'avère moindre du côté de l'Université de Berne, le chercheur en physique et astronomie Adrian Jäggi fait état «de cinq personnes qui travaillent dans le cadre du projet».

Enfin, selon Blaise Genton, Horizon 2020 permet de «monter des projets professionnellement, sans trop de politique. Et

le programme facilite grandement la collaboration pratique entre de nombreuses institutions en Europe», continue de plaider Blaise Genton. «Huit institutions sont impliquées dans nos recherches. Fonctionner en équipe sans le dispositif actuel se révélerait très compliqué», observe Adrian Jäggi.

**Perte d'attractivité**  
Que se passerait-il si la Suisse se faisait exclure du programme Horizon 2020? Pour le Bernois, «notre pays deviendrait moins attractif pour les cerveaux étrangers et éprouverait des difficultés à se tenir à niveau» en matière de qualité. «Nous ne ferions plus que ce que nous avons fait tout seuls, et cela entraînerait une stérilisation progressive de notre recherche», craint Blaise Genton.

Le médecin poursuit, invoquant des problèmes financiers potentiels. «Actuellement, la Confédération paie pour une solution transitoire jusqu'à fin 2016. Mais si l'exclusion de la Suisse d'Horizon 2020 s'inscrit durablement, on peut douter de la poursuite de ce soutien». Sans versements européens, Berne assumerait la totalité de la facture, ce qui grèverait le budget fédéral, déjà objet d'intenses luttes politiques au parlement dans le contexte actuel de cures d'austérité.

En outre, pour mener des projets similaires en mode «collaboratif», la Suisse devrait inviter des chercheurs étrangers à s'installer sur son territoire. «Mais cela ne correspondrait justement pas au souhait de la majorité du peuple qui a voté en faveur de l'initiative «Contre l'immigration de masses». »

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Human Brain Project fédérale de Lausanne sur sans collaboration

## Fonds national suisse: alternative floue

Moyennant un «effort financier supplémentaire», le Fonds national suisse (FNS) pour la recherche pourrait suppléer aux financements européens, au cas où ceux-ci venaient à disparaître.

Imaginons que Bruxelles expulse Bern de définitivement d'Horizon 2020. Les financements européens disparaîtraient. Comment y suppléer? Le Fonds national suisse (FNS) pourrait-il en charger? Si le Secrétaire d'Etat à la formation, à la recherche et à l'innovation (SE-RI) le lui demandait, «le FNS pourrait mettre sur pied de telles mesures», encore impossibles à évaluer aujourd'hui. «Mais cela nécessiterait un effort financier

supplémentaire, que les budgets actuellement en discussion ne prévoient pas», précise Angelika Kahl, directrice.

Le FNS possède déjà une certaine expérience dans le rôle de 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 des «ERCS». En d'autres termes, le FNS payait en lieu et place de l'UE pour les scientifiques suisses subitement déçus du partenariat européen. Cet outil a ensuite été supprimé lors de la réintégration partielle de la Confédération au programme.

Mais cette manière de parer au plus pressé n'a rien de la panacée, prévient le FNS. L'épisode des Temporary Backup Schemes (TBS) «a montré une chose capitale: de telles solutions ne sont pas durables et surtout ne compensent absolument pas la perte d'influence, de stimulation et de réputation scientifiques que permet une participation à Horizon 2020 aux chercheurs suisses».

Le chercheur bernois Adrian Jäggi s'inquiète également. «Le FNS se concentre peu sur les collaborations avec l'étranger. Des accords existent surtout avec l'Allemagne et l'Autriche. La palette est donc nettement moins large que dans Horizon 2020.» » PBO

# 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***

# What problems does the RFI address?



What  
problems  
does the RFI  
aim to  
address?



## 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 ....





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**Report slams  
inequalities in  
research partnershi**

## OPINION

# 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-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.

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- Mutual trust and shared d
- National ownership
- Emphasis on getting 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

BUSINESS & PROFESSIONAL ETHICS  
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**Poverty, Disease, and  
Low- and Middle-Income  
The Roles and Res  
Pharmaceutical Co**

*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

# How will the RFI address these problems?



# How will the RFI address these problems?

- 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 research ethical and equitable forms of were developed through a multi process in response to a call for administrators who indicated global health research.



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



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

Who am I (are we) in this research context?

How am I (are we) positioning ourselves in this research?

What are the causes (and the roots of these causes) of inequities related to the research issue?

## Creating an International The Elmina Resources

Frank Anderson, M  
Ebenezer Appiah-Denkyira, MD, MPH, George Fidelis Dakpallah, MSc,  
Sarah Rominski, MPH, Jane Hassinger, MSW, Airong Lou, PhD, Janet Kwansah, MBA, RN,  
Cheryl Moyer, PhD, MPH, Gurpreet K. Rana, MLS, Aaron Lawson, MB, PhD,  
and Seth Ayettey, MB, PhD

n & Research

of Health (MOH),  
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# Research Fairness *in Practice*



# RFI Reporting Guidelines:

- 3 dimensions
- 15 topics



## 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 before, during and after 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



## 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



## 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

(1)



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

(2)



The RFI has been designed as a REPORTING SYSTEM and as a global LEARNING PLATFORM

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

- 3 Dimensions – 15 Topics
  - 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)



## 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)



### 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



- **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 potential 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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