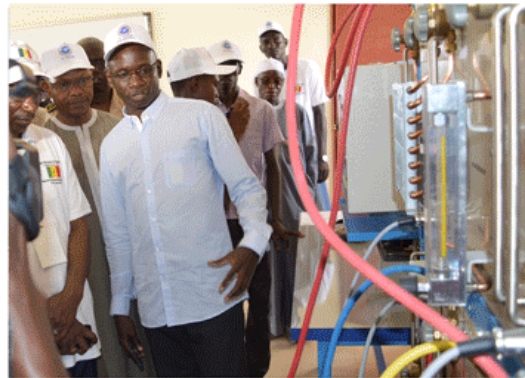


# UADB Research Fairness Initiative Report

## 2018



## UADB Research Fairness Initiative Report 2018

This RFI report was produced according to the RFI guidelines that are current on the date of this publication. The RFI Guides and the criteria for validation of RFI Reports can be found on the RFI website ([rfi.cohred.org](http://rfi.cohred.org)). The publication of this report reflects the reporting organization's commitment to provide a fair and equitable research environment.

The report has been validated by the RFI Team as compliant with current reporting criteria. The content of the report is the sole responsibility of the reporting organization. The Council on Health Research for Development does not endorse, nor take responsibility for, the specific content of the report.

**COHRED / RFI Team**

**Geneva, 1 February 2018**

Alioune Diop University of Bambey (UADB) is a public higher education institution with a legal and juridical personality. It is the heiress of the Regional University Center (CUR) of Bambey, whose creation dates back to 2004 (see decree 2004-916 on "creation and organization of a CUR in Bambey"), even if the teaching did not start than in 2007.

In 2009, Bambey's CUR was transformed into a full-fledged university, following Decree 2009-1221 of 02 November 2009, on the "creation, organization and operation of the University of Bambey", before being named Alioune Diop University by decree 2011 - 1160 of 17 August 2011. UADB is part of the third generation of public universities in Senegal, after Cheikh Anta Diop University and Gaston Berger University. The objective of its creation is to contribute to the diversification of the supply of higher education in Senegal, in the sub-region and in Africa. Its main missions are :

- training ;
- research ;
- support for the integration of graduates ;
- and service to the community.

Alioune Diop University of Bambey is characterized by its youth. Its research strategy is based on its human resources, research structures, partnerships and cooperation projects. To give greater visibility to the research activity, the university decided to organize and structure it. It is in this sense that a framework text organizing the research structures (teams, laboratories, centers) has been adopted by the University Assembly. For a good research development, a direction has been created.

The research structures work around several themes that support research and development, applied research, basic and technological research, valorization as well as the popularization of research results.

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This report will be published on Alioune Diop University's website: <http://www.uadb.edu.sn>

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## Glossary

<b>AIMS</b>	African Institute for Mathematical Sciences
<b>ASPIT</b>	Agence sénégalaise pour la Propriété Industrielle et de l'Innovation Technologique
<b>ATAF</b>	Forum sur l'Administration Fiscale Africaine
<b>BEM</b>	Bordeaux Ecole de Management
<b>CAMES</b>	Conseil Africain et Malgache pour l'enseignement Supérieure
<b>CDL</b>	Centre de Développement Local
<b>CDP</b>	commission des Données Personnelles
<b>CDP</b>	contrat de performance
<b>CEA-MITIC</b>	Centre d'Excellence Africain-Mathématiques et Technologies de l'Information et de la Communication
<b>CEA-SAMEF</b>	Centre d'Excellence Africain-Santé de la Mère et de l'Enfant
<b>CFA</b>	Communauté Financière en Afrique
<b>CIRUISEF</b>	Conférence Internationale des Universités et Institutions Scientifiques d'Expression Française
<b>CNAES</b>	Concertation Nationale sur l'Avenir de l'Enseignement Supérieur au Sénégal
<b>CRI</b>	Centre des Ressources Informatiques
<b>DAJC</b>	Directeur des Affaires Juridiques et du Contentieux
<b>DIVPITT</b>	Direction de l'Innovation, de la Valorisation, de la Propriété Intellectuelle et du Transfert Technologique
<b>DPI</b>	Droit des Propriétés Intellectuelles
<b>EPT</b>	Ecole Poly Technique



**FIR** Fonds d'impulsion de la Recherche  
**FIRST** Fonds d'Impulsion pour la Recherche Scientifique et Technologique  
**FRAO** Fondation Rurale de l'Afrique de l'Ouest  
**HES-SO** Haute Ecole Spécialisée de Suisse Occidentale  
**IDDME** Ingénierie du Développement Durable et Management de l'Environnement  
**IFDD** Institut de la Francophonie pour le Développement Durable  
**ISARA** Institut Supérieur d'Agriculture Rhône et Alpes  
**ISRA** Institut Scientifique de Recherche Agricole  
**OIF** Organisation Internationale de la Francophonie  
**OXFAM** Oxford Committee for Famine Relief  
**MP** Millénium Promise  
**PAPES** Projet d'Appui à la Promotion des Enseignantes-Chercheuses du Sénégal  
**PNA** Pharmacie Nationale d'Approvisionnement  
**PROFADEL** Programme Francophone d'Appui au Développement Local  
**PSE** Programme Sénégal Emergent  
**SDD** Santé et Développement Durable  
**SYSCOA** Système Comptable Ouest-Africain  
**TELUQ** Télé-Université de Québec  
**TIC** Technologies de l'Information et de la Communication  
**UADB** Université Alioune Diop de Bambey  
**UAEL** Union des Associations des Elus Locaux  
**UBS** Université Bretagne Sud  
**UFR** Unité de Formation et de Recherche  
**UFRJ** Université Fédérale de rio de Janeiro  
**URAPD** Union Régionale des Associations Paysannes de Diourbel  
**USAID** United States Agency for International Development  
**UQAC** Université du Québec à Chicoutimi

## **Abbreviations**

**InterSol** Interdisciplinary Solutions for Underserved Areas

## Foreword

The Alioune Diop University of Bambey (UADB) wants to be a national, continental and global reference thanks, among other things, to:

- ♣ its innovative and diversified training offer which takes into account the national needs and the demands imposed on us by our era characterized by the permanence of changes and innovations;
- ♣ the quality of its university management system;
- ♣ its desire to break up, both from the point of view of its training areas, its pedagogical approach and its management system.

The UADB is an Administrative Public Establishment (EPA). It has a legal personality and an administrative and financial management autonomy. Its missions are:

- ♣ to contribute to the diversification of the training offer both at school and university level and in the organization of guidance and professional integration;
- ♣ participate in the training of middle and senior managers, train operational staff in well-defined sectors;
- ♣ to contribute to the establishment of conditions of permanent qualification of citizens;
- ♣ to promote research and development and research-innovation for endogenous and sustainable development as well as the dissemination and exploitation of its results;
- ♣ to promote and develop the use of information and communication technologies in the education system and in the administration;
- ♣ ensure quality university education in all cycles of higher education in line with international standards;
- ♣ promote the dissemination of culture and scientific and technical information;
- ♣ Promote and develop the assets of the Diourbel region and surrounding areas through community service;
- ♣ to participate in the consolidation and integration of African higher education systems and to promote African cultural values;
- ♣ promote interuniversity governance, cooperation and partnership in accordance with academic norms and values.



## Executive Summary

The research policy at Alioune Diop University of Bambey (UADB) is defined by the Rector through a roadmap that he shares with the whole community. One of the five axes of this roadmap is to promote applied research in line with the Emerging Senegal Plan (PSE). Our health research focuses on Community Health, Prevention and Epidemiology. To improve its research policy, the UADB initially aims to make existing research structures function, strengthen human and financial resources, train researchers, align research priorities with national and regional priorities, and to operate the Doctoral School. It will then be necessary to find the partners and the appropriate means, to carry out the research component of fundraising strategy, to enhance and popularize the results of the research.

To develop research, the UADB intends to strengthen the capacities of researchers in the development of research projects and to set up funds for research. The policy and the approach of the UADB concerning the first contact with the partners is first of all to sign systematically a convention defining the common partnership agreement, to respect the administrative procedures, to introduce the rules of ethics and equity in the conventions and set up an ethics committee. It will then be a matter of formalizing practices according to the partner, applying partnership standards in the interests of the institution, improving the involvement of partners, identifying profiles and stakeholders, to develop a training plan in the case of a weak partner and to seek ways to fund capacity building.

Conflict resolution is always described in the partnership agreement. There has never been a conflict but if the case arises, it is the amicable settlement that is preferred. Otherwise the file will be processed in court. In fact, the Rector has appointed a Director in charge of Legal Affairs and Litigation. The institution has a standard agreement that incorporates conflict resolution.

The partnership is defined from the beginning of the project. Each partner pays a portion of the funding. The distribution key of expenses and expenses could be indexed to the purchasing power of the partners. The benefits are usually shared and the terms are determined before the start of activities. For any project, the funding will be defined with the partner by an administrative act that will describe the nature and estimated value of the non-financial contribution. This provision will be part of a general framework to be put in place.

The institution does not yet have a formal system for evaluating partners' research capacities. However, it evaluates these by looking at the profile of project members and the quality of publications in the field of research. It considers the needs of major research projects to be taken into account when planning the use of resources (infrastructure, equipment) and the recruitment of dedicated staff as needed. If there is unavailability of local expert staff, the university conducts recruitment according to the following procedure : profile description, public call for applications, application, evaluation, maintenance, notification. In case of transitional unavailability of existing staff, incentives are offered to staff, otherwise the latter is reinforced by service contracts in accordance with the procedure described above.

The University intends to develop a general framework document for the management of data related to the projects managed in partnership with the various structures.

As part of the planned general policy text, arrangements will be made to manage aspects related to the publication of data. In all cases, the institution will preserve its rights of access, publication and properties of the data resulting from the projects in which it participates.

The institution has a research department which, within the framework of the institutional research policy, integrates support measures by setting up the regulatory framework by setting up doctoral schools, research laboratories, research groups, journals and university presses, promoting applied research in line with the Emerging Senegal Plan and the problems of communities and the country, and by popularizing the results of research (publications, meetings). A research impulse fund (FIR) is also set up to support this type of project and the allocated share is based on the type of project.

In view of the implementation of the research policy guidelines, a training needs identification device will be described in the framework of the management of research projects. Arrangements will be made to integrate technology transfer into treaty-making by incorporating provisions on intellectual property rights into the general framework paper cited above and making use of the Madrid and Hague system recommendations. It is also planned to put in place a mechanism for promoting the results of research. Thus the sharing of the economic benefits of the research activities will figure prominently.

The UADB participates in the national meetings organized by the Ministry of Research and Innovation on the orientations of the research and innovation policy.

Apart from the above funding, especially taken into account by the FIR, there are other activities in prospect such as the creation of an incubator, the Local Development Center (LDC). It is planned to provide incentives, in the institutional research policy, such as the prioritization of funding for projects led by women to involve them more in research and innovation activities.

In addition, UADB has forged a privileged partnership with Université Laval du Québec. This partnership has made it possible to set up a more efficient training offer and the establishment of scientific collaborations on themes that take into account the achievement of the GSD.

In perspective, the institution plans to set up an institutional policy for sustainable development, to create consultation tables between the different services of the University, to reinforce the training and the transmission of knowledge and know-how in sustainable development. The community, to create living laboratories and to make scientific animations.

UADB has never demanded an RFI report to its partners. It was enough to sign the agreement by mutual agreement and intends to use RFI, once stabilized, as a frame of reference in the choice of partners.

As part of the institutional research policy to be defined by the Research Directorate, the capacity building aspect of the research teams, particularly to better deal with the development of fair research contracts, will be planned.

## **Motivation for becoming an RFI reporting institution**

RFI is very useful in helping to establish global best practices. Improving equity in research is a strategic advantage for research organizations, institutions and businesses : greater equity leads to greater efficiency, more sustainable partnerships, less conflict, better research and partnership. RFI is therefore relevant in all collaborative research for all stakeholders, wherever they are and for any length of time. RFI will enable UADB to increase research and innovation capacity.

Finally RFI will allow the UADB to be publicly visible to demonstrate its commitment to the global effort to improve equity in research partnerships.

# DOMAIN 1 : FAIRNESS OF OPPORTUNITY

## **Topic 1. Relevance to the communities – in which the research is done**

### **1.1.1. Research Priorities in Communities where Research is Conducted**

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

The research policy at the UADB is defined by the Rector through a roadmap that he shared with the actors. One of the five axes of this roadmap is: Promote applied research in line with the Emerging Senegal Plan (PSE) (Annex 1). Our health research focuses on Community Health, Prevention and Epidemiology (chronic noncommunicable diseases).

Our organization has other types of partnerships with other universities (Appendices 1-9). The UADB will also sign an agreement with the Henry Lübke regional hospital in Diourbel (annex 10). It strengthens the skills of the hospital by providing specialists in surgery, pediatrics and histology. The University participates in the local development of the Diourbel region by assisting in the development of the regional health development plan related to the medical region, by doing service to the community such as intervention in the Magal of Touba (Chemists, ICT, SDD).

*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.*

- Decree of the UADB (annex 11) ;
  - Decree creating the research department (appendix 12),
  - Decree establishing organisation, operation and management of research structures at the UADB (annex 13) ;
  - Decree of the university presses (Appendices 14 and 15) ;
  - Decree of the scientific commission (Appendix 16) ;
  - Order establishing the Doctoral School (Appendix 17).
- There are different scientific publications (Appendix 18).

Fairfield Agreement (Annex 19).

[https://www.fairfield.edu/lassochannel/press/pr\\_index/index.lasso?id=2880](https://www.fairfield.edu/lassochannel/press/pr_index/index.lasso?id=2880)

[https://www.sendeveloppementlocal.com/Lancement-d-un-programme-interuniversitaire-entre-Bambey-et-Fairfield\\_a3687.html](https://www.sendeveloppementlocal.com/Lancement-d-un-programme-interuniversitaire-entre-Bambey-et-Fairfield_a3687.html)

*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?*

During the first year, the UADB aims to:

- operate research structures already established (research teams);
- strengthen resources (human and financial);
- train researchers (project setup, implementation, monitoring and evaluation);
- align research priorities with national and regional priorities;
- operate the Doctoral School.

During the second year we will:

- find the appropriate partners et means,
- carry out the research component of the fundraising strategy (order of creation of the Fundraising Unit (appendix 20);
- promote and popularize the results of research.

### **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” research priorities for the population concerned?*

The UADB works with stakeholders in all sectors (health, agriculture, governors, regional physicians) to identify priorities or research Topics. Our research priorities are always inclusive and participatory.

*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.*

A fundraising strategy document was drawn up by a committee set up for this purpose and adopted in December 2014. In this document, indications are given regarding the research actors.

Workshop with the Medical Region (Annex 21).

CDL text (Annex 22)

*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.*

The following measures are planned:

- Define a research policy of the UADB;
- Build the capacity of researchers in the development of research projects;
- set up funds for research.

### **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 research priorities of the population in which research will be conducted, how does your organization justify the choice of this population ?*

All our topics integrate the country's research priorities in accordance with the Emerging Senegal Plan (PSE Annex 1).

The UADB is finalizing the signing of an agrobusiness agreement with ISARA (annex 23) and is carrying out other actions such as strengthening the support of URAPD in agro-food processing and ICT.

*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.*



The following documents should be noted: PSE (Annex 1), URAPD (Annex 24), Convention with BEM currently being finalized (Annex 25), ISRA (Annex 26).

*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 ?*

New conventions can be signed with major international institutions to accelerate structural reforms, the diffusion of technological innovations, the promotion of research.

## Topic 2. Early engagement of partners

### 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.

- Systematic signature of an agreement defining the common partnership agreement;
- Compliance with administrative procedures.

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.

Models of BEM (Annex 25), ATAF Annex 27).

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 ?

- Introduce the rules of ethics and fairness into the conventions;
- Set up at UADB an ethics committee.

### 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 ?

The partner is involved in the whole process:

- context analysis;

- Determination of priorities and common treatment of needs between the partner and the UADB;
- Search for means or responsibilities distribution;
- Signature of the agreement;
- Implementation of the solution;
- Monitoring and evaluation.

Examples: BEM Conventions (Annex 25), ATAF (Annex 27), MP (Annex 28).

*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.*

This document does not exist at the moment. The UADB has signed a treaty with the following organizations: URAPD (annex 24), UFRJ (annex 29), the medical region in Magal (annex 21).

*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?*

The framework document defining the research orientations and the procedures set out in the 2018-2022 strategic plan.

### **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.*

No.

*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.*

No.

*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 ?*

- Formalize an act practices according to the partner ;
- Apply partnership standards in the interests of the institution ;
- Improve the involvement of partners ;
- Identify the profiles and skills of the actors ;
- Develop a training plan in the case of a weak partner ;
- Look for ways to fund capacity building.

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

### 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.*

- The authors of the publications resulting from the study;
- Feedback on the study and its results to the populations who participated;
- Action Tracking (Data Ownership and Intellectual Property Rights related to research projects will be dealt with separately later).

It is through meetings that roles and responsibilities are shared by taking into account interests and areas of action, agreements between different partners. The opinion of the community also counts.

*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.*

Systematic report writing in which the names of the authors and / or actors are mentioned.

*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 ?*

In case of partnership, it is necessary to put in place a regulation of the position of the authors in the publications. This regulation provides for restitution sessions or pre-restitution of the final or provisional results of the research aimed at the communities concerned. Example publication InterSOL 2017 (Annex 18).

### **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 ?*

Conflict resolution is described in the partnership agreement. Responsibilities are located. There has never been a conflict ; but if the case arises, it is the amicable settlement that is preferred. Otherwise the file is processed in court. The Rector has appointed a Director in charge of Legal Affairs and Litigation (Annex 30)

*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.*

The institution has a standard agreement that incorporates conflict resolution. Example : the NAP Convention (Annex 31).

*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.*

Settlement is provided for in the agreement. Moreover, the Rector has appointed a Director in charge of Legal Affairs and Litigation to be arrested.

### **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.*

The benefits are usually shared and the terms are determined before the start of activities.

*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.*

Example EPT (Annex 32).

*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 ?*

Elaboration of a decree or a rectorial note containing provisions that describe all the benefits in the agreements and contracts, before any project.

## **Topic 4. Ensuring That Matching and Other Co-Financing Mechanisms Do Not Undermine Opportunities For Fair Participation of All Partners**

### **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 ?*

For example, we comply with the provisions of the signed agreement. Certain acts can be cited : Example of the partnership CEA MITIC-UADB, State-CEA MITIC, UFR SATIC-CEA MITIC.

*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.*

<https://mail.google.com/mail/u/0/#inbox/15d3795317a2d440>

<https://mail.google.com/mail/u/0/#inbox/15d37a0f68c9f049>

*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 ?*

With any partner, take an act that will be signed by both institutions.

### **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 ?*

Equal co-financing is hard to get. We advocate proportional co-financing for spin-offs.  
Examples : Territorial marketing and OXFAM and taxation (registration fees) (Annex 33).

*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.*

The UADB does not yet have a general framework. However, it has specific agreements according to the type of financing ; Example : Territorial Marketing Document, OXFAM (Annex 33), ATAF (Annex 27).

*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 ?*

For any project, the funding will be defined with the partner by an administrative act that will describe the nature and estimated value of the non-financial contribution. This provision will be part of the general framework to be put in place.

### **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 research 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 ?*

We find this kind of collaboration only in the case of individual research. The people concerned are seeking their own funding.

*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*

No documents in this case. The national consultation on the future of higher education in Senegal (CNAES) in its decision 8 provides for the implementation of an appropriate framework.

<http://www.mesr.gouv.sn/decision-n-8-donner-un-nouvel-elan-a-la-recherche-et-a-linnovation/>

*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 ?*

- Advocate with partners to take priorities into account ;
- find a distribution key to have an impact at the institution level if it is funded individual research ;
- put in place a system of capitalization of the results which integrates the improvement for the well-being of the doctoral students and the valorization of the results of research by creating new priorities ;
- refocus research to priorities as needed.

## **Topic 5. Recognition of Unequal Research Management Capacities Between Partners and Providing For Appropriate Corrective Measures**

### **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 ?*

The institution does not yet have a formal system for evaluating partners' research capacities. However, it evaluates these by looking at the profile of project members and the quality of publications in the field of research.

*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.*

No document.

*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 ?*

- develop a reference framework for evaluating research management capacities, particularly for partners;
- implement corrective measures.

### **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 ?*

This case never happened.

*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.*

No document.

*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 ?*

- put in place a capacity building mechanism for evaluating and auditing the financial management capabilities of research;
- use the services of an external auditor (chartered accountant) within the next two years.

### **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 ?*

The institution looks at the capacity in terms of partner search. It is by learning about the profiles of the research partners that the institution gets an idea of the negotiation skills of the research contracts.

*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.*

The UADB does not yet have a written act.



*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 ?*

- evaluate the partner's experience in contract negotiation;
- put in place an institutional capacity building mechanism for the negotiation of research contracts, if necessary;
- adapt the proposed web tool (<http://frcweb.cohred.org>).

### **Other Information Related to Increasing “Fairness of Opportunity”**

*In selecting 5 topics and 15 indicators of ‘Fairness of Opportunity’, the RFI is inevitably oversimplifying 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.*

### Summary table for Domain 1 : Fairness of Opportunity

The table below indicates the actions to be taken in the short term regarding specific indicators. Priority levels are from 1 (very important in the short term) to 3 (less important in the short term).

Indicator number	Priority Level	Actions to be taken	Due date
Topic 1 : Relevance to communities – in which research is done			
1.1.1.	1	Operate the Doctoral School. Promote and popularize the results of the research.	December 2018
1.1.2.	3	Set up funds for research. Strengthen the capacity of researchers in the development of research projects.	January 2019
1.1.3.	2	Sign new agreements with major international institutions to accelerate structural reforms, diffusion of technological innovations, promotion of research.	July 2018
Topic 2 : Early engagement of all partners – in deciding about aims, methods, implementation			
1.2.1.	2	Introduce the rules of ethics and fairness in the conventions and set up an ethics committee at UADB.	January 2019
1.2.2.	3	Finalize the framework document that defines the research directions and procedures as planned in the 2018-2022 strategic plan.	July 2018
1.2.3.	1	- Formalize practices according to the partner ; - Apply partnership standards in the interests of the institution ; - Improve the involvement of partners ;	January 2019

Indicator number	Priority Level	Actions to be taken	Due date
		<ul style="list-style-type: none"> <li>- Identify the profiles and skills of the actors ;</li> <li>- Develop a training plan in the case of a weak partner ;</li> <li>- Look for ways to finance capacity building.</li> </ul>	
<b>Topic 3 : Making contributions of all partners explicit – fair research contracting</b>			
1.3.1.	1	Set up a regulation of the position of the authors in the publications. This regulation provides for restitution sessions or pre-restitution of the final or provisional results of the research aimed at the communities concerned.	December 2018
1.3.2.	3	Put the decision of the Director in charge of Legal Affairs and Litigation.	July 2018
1.3.3.	2	Develop a bylaw or roster with provisions that describe all benefits in agreements and contracts, before any project.	December 2018
<b>Topic 4 : Ensuring that matching and other co-financing mechanisms do not undermine opportunities for fair participation of all partners</b>			
1.4.1.	1	With any partner, take an act that will be signed by both institutions.	July 2018
1.4.2.	3	For any project, the funding will be defined with the partner by an administrative act that will describe the nature and estimated value of the non-financial contribution. This provision will be part of the general framework to be put in place.	July 2018

Indicator number	Priority Level	Actions to be taken	Due date
1.4.3.	2	<ul style="list-style-type: none"> <li>- Find a distribution key to have an impact at the institution level if it is funded individual research ;</li> <li>- Establish a system of capitalization of results that integrates development for the well-being of doctoral students and the valorization of research results by creating new priorities ;</li> <li>- Redirect research to priorities as needed.</li> </ul>	December 2018
Topic 5 : Recognition of unequal research management capacities between partners and providing for appropriate corrective measures			
1.5.1.	2	Develop a benchmark for evaluating research management capabilities, including partners.	December 2019
1.5.2.	1	<ul style="list-style-type: none"> <li>- Establish a capacity building mechanism for the evaluation and auditing of financial management capabilities of research ;</li> <li>- Use the services of an external auditor (chartered accountant) within the next two years.</li> </ul>	January 2019
1.5.3.	3	<ul style="list-style-type: none"> <li>- Evaluate the partner's experience in contract negotiation ;</li> <li>- Establish a mechanism for strengthening institutional capacities in the negotiation of research contracts, if necessary ;</li> <li>- Adapt the proposed web tool (<a href="http://frcweb.cohred.org">http://frcweb.cohred.org</a>).</li> </ul>	January 2019

## DOMAIN 2 : FAIR PROCESS

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

#### **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 ?*

Our institution has never measured the impact on partner systems.

*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.*

- No guidelines for the first case;
- Act : Example of the UADB-URAPD Convention: Regional Union of Farmers and Peasants of Diourbel (Appendix 24);
- Convention between the Health and Sustainability UFR-WARC (Annex 34) and USAID (Annex 35).

*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 ?*

We will put in place an impact assessment system.

#### **2.6.2. Reducing the 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 ?*

This case never happened.

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.*

No document.

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 ?*

The institution plans to take into account the needs of major research projects in the planning of the use of resources (infrastructure, equipment) and the recruitment of dedicated staff as needed.

### **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 ?*

For the moment there is no policy or guideline on this subject.

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.*

No document available.



*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 ?*

The evaluation system must provide a document on, among other things, the identification of the different types of negative impacts and the preventive measures to be taken such as the subscription to an insurance policy.

## **Topic 7. Fair Local Hiring, Training and Sourcing**

### **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 ?*

- Justify the need for recruitment ;
- define the profile ;
- make the calls for applications.

The same steps are followed for the expatriate.

Use of the procedure manual for hiring.

*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.*

Decree and Law: Law 81-59 amended by Law 2016-07 (Annexes 36 and 37);  
Procedural Manual of the UADB (Annex 38).

*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 ?*

Evaluation of current practices and implementation of corrective measures as needed.

Expression of motivated needs to submit to the state

### **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 ?*

- Expression of needs by the requesting services,
- Budgeting by central government,
- Technical specifications and drafting of specifications if the amount exceeds 50 million CFA

francs,

- Market launch by the cell,
- Opening of bids by the Committee on Contracts,
- Evaluation and award by the Committee on Contracts,
- Reception by the reception committee.

Criteria for the award of the contract used: respect of the technical specifications and criterion of the lowest bidder.

Release note by the subject accountant and provisional assignment by the competent authority.

*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.*

- UADB Procedures Manual in the Supply Section (Annex 38).
- Minutes of the counting (Appendix 39).
- Procurement Code  
([https://www.sec.gouv.sn/IMG/pdf/Decret\\_portant\\_Code\\_des\\_Marches\\_Publics.pdf](https://www.sec.gouv.sn/IMG/pdf/Decret_portant_Code_des_Marches_Publics.pdf)).

*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?*

- Continue to launch markets on time ;
- Set up a supply service ;
- Update the procedure manual.

### **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 ?*

If there is unavailability of local expert staff, the university proceeds with recruitment according to the following procedure:

- Profile description, public call for applications, application, evaluation, maintenance, notification.

In the event of transitional unavailability of existing staff, incentive bonuses are offered to staff otherwise, the staff is reinforced by service contracts in accordance with the procedure described above.

For consumables: an open tender is launched again if necessary.

*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.*

Procedural Manual of the UADB in the Supply Section (Annex 38).

*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?*

The manual update is planned for improvement.

## **Topic 8 : Respect for the authority of local ethics review systems**

### **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?*

[Senegalese law n ° 2009-17 of 09 March 2009 \(annex 40\).](#)

*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..*

[Code of Ethics Senegalese law n ° 2009-17 of 09 March 2009 \(appendix 40\).](#)

[The motto of our organization is: "excellence is my constancy, ethics my virtue". Ethics is a reference value of our institution. Thus all its missions whose research naturally integrate this value.](#)

*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?*

[Elaborate an institutional charter of ethics inspired by the existing \(charter of ethics and deontology of CAMES, draft charter of the CIRUISEF \(annex 41\), Senegalese law n ° 2009-17 of 09 March 2009\) \(Annex 40\).](#)

### **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?*

No.

*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.*

Senegalese law n ° 2009-17 of 09 March 2009 (annex 40).

*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 ?*

To accept the institutional charter of ethics before the signing of the convention.

### **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)?*

At the local level no. However at the national level the expertise exists. The necessary financial resources are to be sought from the State and partners.

*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.*

Non-existent text.

*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 ?*

Take action and set up a committee of ethics and professional conduct. In this sense, the use of national and international conventions will be put forward for support.

## **Topic 9 : Data Ownership, Storage, Access and Use**

### **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?*

The UADB does this in practice, but never incorporated it into the conventions. With the URAPD, UADB researchers published an article by first putting the names of the Academics before those of the peasants.

At the national level, there is a personal data commission CDP responsible for regulating the collection, storage and use of personal data in Senegal.

*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..*

Example of publication with URAPD (Annex 24).

[www.cdp.sn](http://www.cdp.sn)

*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?*

The University intends to develop a general framework document for the management of data related to the projects managed in partnership with the various structures.

### **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 ?*



Future use is not defined by texts. So far the material remains at the University at the end of the project.

*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.*

Examples: CDP Performance Contract (Annex 42), FAIRFIELD Agreement (Annexes 43 and 44), UADB-HES-SO VALAIS WALLIS Agreement (Annex 45).

*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?*

The institution plans to develop a general guidance text for future use of the material at the end of the project.

### **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 ?*

This issue is dealt with through the research contracts, in connection with the research teams and under the supervision of the doctoral school created since March 2017 on the one hand, and on the other hand, with the partners concerned.

*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.*

Publications by Dr. Assane Gueye (Annex 18) where the names of peasants are mentioned: Diouf, Diouf, A. Dieng, A. Sene, I. Thiao.

*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 ?*

- Agreements from the lead partner or external research sponsor to jointly budget all reasonable overheads - not just allocate a maximum percentage of the total budget.
- Provide realistic and equitable overhead allocations for all partners - take into account that different partners may have very different base funding.

As part of the general guidance text provided above, arrangements will be made to manage aspects related to the publication of data. In all cases, the institution will preserve its rights of access, publication and properties of the data resulting from the projects in which it participates.

Example UADB-ISRA convention (Annex 26), UADB-AIMS convention (Annex 7), Paris EPT (Annex 32).

## **Topic 10 : Encourage full cost recovery budgeting and compensation for all partners**

### **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?*

The institution does not budget for the full cost recovery (infrastructure, personnel, water, electricity, logistics provided) to ensure the smooth running of the project.

*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.*

The institution does not have a written document.

*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?*

Provide timely and cost-effective and inclusive budgeting for 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 ?*

The institution raises project budgets with the partner; however, the process is not formalized by acts.

On budgeting the SYSCOA is used (Annex 46).

*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.

Examples : UADB-UBS Convention (Annex 47), UADB-UAEL Convention (Annex 48), UADB-ISRA Convention (Annex 26). EPT Paris (Appendix 32).

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 ?

Specify in all partnership-research agreements the reference budgeting system.

### **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?

The accounting system applied in Senegal and in particular at the University is SYSCOA (Annex 46).

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.

No document.

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?

Inform the partner of the system used.

## Summary table for Domain 2 : Fair Process

The table below indicates the actions to be taken in the short term regarding specific indicators. Priority levels are from 1 (very important in the short term) to 3 (less important in the short term).

Indicator number	Priority Level	Actions to be taken	Due date
Topic 6 : Minimizing negative impacts of research programmes on health and other systems			
2.6.1.	2	Establish a system for evaluating the impact of research collaborations	December 2018
2.6.2.	1	Take into account the needs of major research projects in the planning of the use of resources (infrastructures, equipment) and the recruitment of dedicated personnel as needed.	December 2018
2.6.3.	3	The evaluation system must provide a document on, among other things, the identification of the different types of negative impacts and the preventive measures to be taken such as the subscription to an insurance policy.	December 2018
Topic 7 : Fair local hiring, training and sourcing			
2.7.1.	1	Evaluation of current practices and implementation of corrective measures as needed. Expression of motivated needs to submit to the state.	Janury 2019
2.7.2.	2	- Continue to launch markets on time, - Set up a supply service, - Update the procedure manual.	July 2018
2.7.3.	3	Update manual for improvement	Periodically

Indicator number	Priority Level	Actions to be taken	Due date
Topic 8 : Respect for authority of local ethics review systems			
2.8.1.	1	Elaborate an institutional charter of ethics inspired by the existing (charter of ethics and deontology of CAMES and the draft charter of the CIRUISEF)	Janury 2019
2.8.2.	2	To accept the institutional charter of ethics before the signing of the convention	December 2018
2.8.3.	3	Take action and set up a committee of ethics and professional conduct. In this sense, the use of national and international conventions will be put forward for the accompaniment of	Janury 2019
Topic 9 : Data ownership storage, access and use			
2.9.1.	1	Develop a general framework document for managing data related to projects managed in partnership with the different structures	March 2019
2.9.2.	3	This issue is dealt with through the research contracts, in connection with the research teams and under the supervision of the doctoral school created since March 2017 on the one hand, and on the other hand, with the partners concerned	Janury 2019
2.9.3.	2	Develop a general guidance text for future use of the material at the end of the project	December 2019
Topic 10 : Encourage full cost recovery budgeting and compensation for all partners			

Indicator number	Priority Level	Actions to be taken	Due date
2.10.1.	3	Provide good evaluation and inclusive and cost-based budgeting for research collaborations	July 2018
2.10.2.	1	Specify in all partnership-research agreements the reference budgeting system	July 2018
2.10.3.	2	Inform the reference budgeting system partner	July 2018

# DOMAIN 3 : FAIR SHARING OF BENEFITS, COSTS AND OUTCOMES

## Topic 11. Research system capacities

### 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?*

Some agreements provide this, (for example UADB-URAPD convention) (Annex 24). Priorities are identified on the basis of the Rector's roadmap (Annex 49), the internal UADB decree (Annex 11) and the national PES (Annex 1). The allocated share depends on the type of project.

*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.*

Annexes 1, 11, 25 and the Rector's road map (annex 49).

*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?*

- Identify the training needs of the partners;
- Set up an appropriate capacity building programme.

### 3.11.2. 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 ?*

The institution has a Research Department. As part of the institutional research policy, whose axes are defined below, it includes accompanying provisions:

- Put in place the regulatory framework: texts and structures;
- Establish doctoral schools, research laboratories, research groups, journals and university presses;
- Promote applied research, in line with the Emerging Senegal Plan and the problems of communities and the country;
- Disseminate the results of the research: publications, meetings, etc.

The allocated share depends on the type of project. A research impulse fund (FIR) is also set up to support this type of project.

*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.*

Example of the training of Diourbel farmers and agents of Bambey district. CRI Certifications (Appendices 50 and 51). Order creating the Research Directorate (Appendix 12).

*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?*

In order to implement the research policy guidelines (above), a training needs identification scheme will be described in the context of the management of research projects. Examples : training in research project management, scientific valorization.

### **3.11.3. Increase (predictable) Funding**

*3.11.3.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 ?*

The Research Impulse Fund (FIR) exists at the institutional level, the African Center of Excellence in Mathematics, Computer Science and ICT (CEA-MITIC), the African Center of Excellence in the Health of Mother and Child (CEA-SAMEF), the Impulse Fund for Scientific and Technical Research (FIRST), and the Project to Support the Promotion of Teacher-Researchers of Senegal (PAPES) help partners to better access funding.

*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.*

Preparation of the strategic plan of the district of Bambey (appendices 52 and 53).

*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 ?*

The Vice Rector in charge of the Partnership actively participates in the finalization of the strategic plan of the Department of Bambey. Work with communities and partners to develop development and institutional capacity building projects.

## Topic 12. Intellectual Property Rights and Tech Transfer

### 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 ?

No, however, some examples of projects with technology transfer : lighting project in rural areas.

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.

No document.

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 ?

In the framework of the institutional research policy mentioned above, steps will be taken to integrate technology transfer in the elaboration of conventions.

### 3.12.2. Sharing Intellectual Property Rights (IPR)

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. 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.

Outside conventions no pre or post search negotiations.

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.

No document available.

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?

- incorporate provisions on intellectual property rights in the general framework document cited above;
- use the recommendations for the Madrid and Hague systems.

### **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 ?*

The UADB has never asked for it, however, individually, IPRs are respected in the publications. The institution has set up a Directorate of Legal Affairs and Litigation (DAJC) to take care of, among other things, this need.

*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.*

No document.

*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 ?*

As part of its work, the DAJC will keep in touch, if necessary, with national structures such as the Innovation, Valuation, Intellectual Property and Technological Transfer Department (DIVPITT [http://www.mesr.gouv.sn/wp-content/uploads/2016/06/TDR-Atelier\\_Valorisation\\_DIVPITT\\_22-Juin\\_2016.pdf](http://www.mesr.gouv.sn/wp-content/uploads/2016/06/TDR-Atelier_Valorisation_DIVPITT_22-Juin_2016.pdf)), the Senegalese Agency for Industrial Property and Technological Innovation (ASPIT [http://www.ip4growth.eu/sites/default/files/D1.04\\_IP4GROWTH\\_ASPIT\\_IGs%20au%20Senegal%202016.pdf](http://www.ip4growth.eu/sites/default/files/D1.04_IP4GROWTH_ASPIT_IGs%20au%20Senegal%202016.pdf)).

## **Topic 13. Innovation system capacities**

### **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?*

There are still no spin-offs from economic activities stemming from research at the University.

*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.*

Agreement with TELUQ (Appendix 54)

Convention with ATAF (Annex 27).

*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 ?*

As part of the institutional research policy, it is planned to set up a system for the valorisation of the results of research. Thus the sharing of the economic benefits of the research activities will figure prominently.

### **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 ?*

No funding has yet been given by the institution, but the FIR does not exclude it.

*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.*

No document yet.

*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 ?*

The institution intends to reinforce the funds allocated to the FIR, which should formally provide appropriate criteria for moving from 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?*

The UADB participates in the national meetings organized by the Ministry of Research and Innovation on the orientations of the research and innovation policy. Intervention of the research teams of the university at the Grand Magal of Touba (Community Health, Chemistry, ICT).

*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.*

Workshop with the Medical Region (Annex 21).

*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?*

Apart from the above funding, especially taken into account by the FIR, there are other activities in prospect such as the creation of an incubator, the Local Development Center (CDL) (annex 22).

## Topic 14. Due Diligence

### 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.]*

No positive discriminatory measures have yet been taken to promote women's participation in science and innovation. On the other hand, at the ministerial level, measures are taken. Example of the PAPES which takes precedence over women scientists.

*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.*

Example of Mrs Ndiaye (Appendices 55 and 56) and Mrs Mballo (Appendix 57). The call for applications (Annex 58). <https://mail.google.com/mail/u/0/#inbox/15d1301c465d25bf>

*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 ?*

Take incentives in the institutional research policy, such as prioritizing the funding of women's projects to involve them more in research and innovation activities.

### 3.14.2. Negative Environmental Impact

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

Yes, we have programs in this direction. The example of the botanical garden of the UFR SDD oriented among others towards the production of medicinal plants. A green plan is being developed and is waiting to be implemented.

*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.*

So far we have not signed a cooperation agreement in this direction, but projects are being finalized with DP world (annex 59).

*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 ?*

- Seek funding and implement the green plan project ;
- strengthen the botanical garden.

### **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 ?*

The authorities of the UADB have forged a privileged partnership with Université Laval of Québec. This partnership has made it possible to set up a more efficient training offer and the establishment of scientific collaborations on Topics that take into account the achievement of the SDGs. Moreover, in April 2017, a workshop focused on the prioritization of multi-stakeholder SDG targets was co-organized with Laval University through the OIF grid. The SDG target prioritization grid (GPC-SDG) at the local level was developed through the Francophone Local Development Support Program (PROFADEL) of the International Organization of Francophony (OIF) in partnership with the IFDD and UQAC's Chair in eco-consulting. It aims at integrating and achieving the SDGs at the local level, in particular by providing local actors with tools for analysis, diagnosis and planning adapted to the specific requirements of the local community. (Annex 60). A workshop was organised to prioritize SDG targets - 26-27 April 2017 UADB.

*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.*



Decrees establishing the Sustainable Development Department and the Bachelor of Engineering in Sustainable Development and Environmental Management (IDDME) (Appendix 61).

*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 ?*

In perspective the institution plans to :

- Establish an institutional policy for sustainable development ;
- Create consultation tables between the different departments of the University ;
- Strengthen the training and transmission of knowledge and know-how in sustainable development to the university community and the community ;
- Create living laboratories ;
- Make scientific animations (forum in June 2018) ;
- Evaluate institutional policy.

## **Topic 15. Expectation of All Partners to Adhere to a Best Practice Standard In Research Collaborations**

### **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 ?*

The UADB has never demanded an RFI report to its partners. It complied with the signature of mutual agreement.

*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.*

No document.

*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 ?*

The UADB intends to be more vigilant about the quality of our partners through documents like RFI report.

### **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 ?*

So far the UADB does not have it.

*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.*

No document.

*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 ?*

The UADB intends to use RFI, once stabilized, as a reference framework in the choice of partners.

### **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<sup>57</sup> – 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 ?*

The UADB has a Research Directorate that administers the FIR.

*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.*

Texts of creation of the direction of the research and the FIR.

*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 ?*

As part of the institutional research policy to be defined by the Research Directorate, the capacity building aspect of the research teams, especially to better deal with the development of fair research contracts, will be planned.

### Summary table for Domain 3 : Fair sharing of Benefits, Costs and Outcomes

The table below indicates the actions to be taken in the short term regarding specific indicators. Priority levels are from 1 (very important in the short term) to 3 (less important in the short term).

Indicator number	Priority Level	Actions to be taken	Due date
Topic 11 : Research system capacities			
3.11.1.	1	- Identify the training needs of the partners ; - Put in place an appropriate capacity building device.	December 2018
3.11.2.	2	In the context of the implementation of research policy guidelines, describe a system for identifying training needs in the context of the management of research projects.	July 2018
3.11.3.	3	Work with local communities and partners to develop development and institutional capacity building projects.	Janury 2019
Topic 12 : Intellectual property rights and technology transfer			
3.12.1.	1	As part of the institutional research policy, take steps to integrate technology transfer in the elaboration of conventions.	July 2018
3.12.2.	2	- Integrate provisions on intellectual property rights into the general framework document ; - Exploit the recommendations for the Madrid and Hague systems.	December 2018
3.12.3.	3	As part of its work, the DAJC will keep in touch with national structures such	Janury 2019

Indicator number	Priority Level	Actions to be taken	Due date
		as the Innovation, Valuation, Intellectual Property and Technology Transfer Department.	
Topic 13 : Innovation system capacities			
3.13.1.	3	As part of the institutional research policy put in place a mechanism to promote the results of research	December 2018
3.13.2.	1	Reinforce the funds allocated to the FIR, which should formally provide appropriate criteria for moving from research to innovation	December 2018
3.13.3.	2	Incubator creation, Local Development Center	December 2018
Topic 14 : Due diligence			
3.14.1.	2	Take incentives in the institutional research policy, such as prioritizing funding for women's projects to involve them more in research and innovation activities	July 2018
3.14.2.	3	- Seek funding and implement the green plan project ; - Strengthen the botanical garden.	July 2018
3.14.3.	1	- Establish an institutional policy for sustainable development - Create discussion tables between the different departments of the University -To strengthen the training and transmission of knowledge and know-how in sustainable development to the university	June 2019

Indicator number	Priority Level	Actions to be taken	Due date
		community and the environment - Create living laboratories - Make scientific animations - Evaluate the institutional policy	
Topic 15 : Expectation of all partners to adhere to a best practice standard in research collaborations			
3.15.1.	1	To be more vigilant about the quality of partners through documents like RFI report	July 2018
3.15.2.	2	Using RFI, once stabilized, as a reference framework in the choice of partners	July 2018
3.15.3.	3	Capacity building of research teams, particularly to better address the development of equitable research contracts	December 2018

# Conclusions

The goal of Alioune Diop University in Bambey is to provide innovative and quality training, consistent with the needs expressed in the labor markets and contributing to socio-economic development, to develop cutting-edge research that addresses national development issues, put in place an effective system of university governance and develop fruitful partnerships with a resource mobilization strategy. It intends to create an environment conducive to quality research, innovation and creativity and to bring out new ways of doing things with the necessary synergies by deepening partnerships with research organizations. For this UADB intends to rely on the RFI approach, no doubt it will allow the UADB to be publicly visible to demonstrate its commitment to the global effort to improve equity in partnerships of research.

## Overall Summary table for actions to be taken

Domain	Indicator number	Priority Level	Actions to be taken	Due date
Domain 1 :  Fairness of Opportunity	Topic 1 : Relevance to communities – in which research is done			
	1.1.1.	1	Operate the Doctoral School. Promote and popularize the results of the research.	December 2018
	1.1.2.	3	Set up funds for research. Strengthen the capacity of researchers in the development of research projects.	Janury 2019
	1.1.3.	2	Sign new agreements with major international institutions to accelerate structural reforms, diffusion of technological innovations, promotion of research.	July 2018
	Topic 2 : Early engagement of all partners – in deciding about aims, methods, implementation			
	1.2.1.	2	Introduce the rules of ethics and fairness in the conventions and set up an ethics committee at UADB.	Janury 2019
	1.2.2.	3	Finalize the framework document that defines the research directions and procedures as planned in the 2018-2022 strategic plan	July 2018
	1.2.3.	1	<ul style="list-style-type: none"> <li>- Formalize practices according to the partner ;</li> <li>- Apply partnership standards in the interests of the institution ;</li> <li>- Improve the involvement of partners ;</li> <li>- Identify the profiles and skills of the actors ;</li> <li>- Develop a training plan in the case of a weak partner ;</li> <li>- Look for ways to finance capacity building.</li> </ul>	Janury 2019
	Topic 3 : Making contributions of all partners explicit – fair research contracting			
	1.3.1.	1	Set up a regulation of the position of the authors in the publications. This regulation provides for restitution sessions or pre-restitution of the final or provisional results of the research aimed at the communities concerned.	December 2018
1.3.2.	3	Put the decision of the Director in charge of Legal Affairs and Litigation	July 2018	
1.3.3.	2	Develop a bylaw or roster with provisions that describe all benefits in agreements and contracts, before any project	December 2018	



Domain	Indicator number	Priority Level	Actions to be taken	Due date
	Topic 4 : Ensuring that matching and other co-financing mechanisms do not undermine opportunities for fair participation of all partners			
	1.4.1.	1	With any partner, take an act that will be signed by both institutions	July 2018
	1.4.2.	3	For any project, the funding will be defined with the partner by an administrative act that will describe the nature and estimated value of the non-financial contribution. This provision will be part of the general framework to be put in place.	July 2018
	1.4.3.	2	- Find a distribution key to have an impact at the institution level if it is funded individual research ; - Establish a system of capitalization of results that integrates development for the well-being of doctoral students and the valorization of research results by creating new priorities ; - Redirect research to priorities as needed.	December 2018
	Topic 5 : Recognition of unequal research management capacities between partners and providing for appropriate corrective measures			
	1.5.1.	2	Develop a benchmark for evaluating research management capabilities, including partners	December 2019
	1.5.2.	1	- Establish a capacity building mechanism for the evaluation and auditing of financial management capabilities of research ; - Use the services of an external auditor (chartered accountant) within the next two years.	Janury 2019
	1.5.3.	3	- Evaluate the partner's experience in contract negotiation ; - Establish a mechanism for strengthening institutional capacities in the negotiation of contracts research, as needed ; - Adapt the proposed web tool ( <a href="http://frcweb.cohred.org">http://frcweb.cohred.org</a> )	Janury 2019
	Topic 6 : Minimizing negative impacts of research programmes on health and other systems			
	2.6.1.	2	Establish a system for evaluating the impact of research collaborations	December 2018
	2.6.2.	1	Take into account the needs of major research projects in the planning of the use of resources (infrastructures, equipment) and the recruitment of dedicated personnel as needed	December 2018
	2.6.3.	3	The evaluation system must provide a document on, among other things, the identification of the different types of negative impacts and the preventive measures to be taken such as the subscription to an insurance policy.	December 2018
	Topic 7 : Fair local hiring, training and sourcing			
	2.7.1.	1	Evaluation of current practices and implementation of corrective measures as needed.	Janury 2019

Domain	Indicator number	Priority Level	Actions to be taken	Due date	
Domain 2 : Fair Process			Expression of motivated needs to submit to the state.		
	2.7.2.	2	- Continue to launch markets on time ; - Set up a supply service ; - Update the procedure manual.	July 2018	
	2.7.3.	3	Update manual for improvement	Periodically	
	Topic 8 : Respect for authority of local ethics review systems				
	2.8.1.	1	Elaborate an institutional charter of ethics inspired by the existing (charter of ethics and deontology of CAMES and the draft charter of the CIRUISEF)	Janury 2019	
	2.8.2.	2	To accept the institutional charter of ethics before the signing of the convention.	December 2018	
	2.8.3.	3	Take action and set up a committee of ethics and professional conduct. In this sense, the use of national and international conventions will be put forward for the accompaniment of	Janury 2019	
	Topic 9 : Data ownership storage, access and use				
	2.9.1.	1	Develop a general framework document for managing data related to projects managed in partnership with the different structures	March 2019	
	2.9.2.	3	This issue is dealt with through the research contracts, in connection with the research teams and under the supervision of the doctoral school created since March 2017 on the one hand, and on the other hand, with the partners concerned	Janury 2019	
	2.9.3.	2	Develop a general guidance text for future use of the material at the end of the project	December 2019	
	Topic 10 : Encourage full cost recovery budgeting and compensation for all partners				
	2.10.1.	3	Provide good evaluation and inclusive and cost-based budgeting for research collaborations	July 2018	
	2.10.2.	1	Specify in all partnership-research agreements the reference budgeting system	Julyt 2018	
2.10.3.	2	Inform the reference budgeting system partner	July 2018		
Topic 11 : Research system capacities					
3.11.1.	1	- Identify the training needs of the partners ; - Put in place an appropriate capacity building device.	December 2018		
3.11.2.	2	In the context of the implementation of research policy guidelines, describe a system for identifying training needs in the context of the management of research projects	July 2018		

Domain	Indicator number	Priority Level	Actions to be taken	Due date
<b>Domain 3 : Fair sharing of benefits, costs and outcomes</b>	3.11.3.	3	Work with local communities and partners to develop development and institutional capacity building projects.	Janury 2019
	Topic 12 : Intellectual property rights and technology transfer			
	3.12.1.	1	As part of institutional research policy, take steps to integrate technology transfer in the elaboration of conventions	July 2018
	3.12.2.	2	- Integrate provisions on intellectual property rights into the general framework document ; - Exploit the recommendations for the Madrid and Hague systems.	December 2018
	3.12.3.	3	As part of its work, the DAJC will keep in touch with national structures such as the Innovation, Valuation, Intellectual Property and Technology Transfer Department.	Janury 2019
	Topic 13 : Innovation system capacities			
	3.13.1.	3	As part of the institutional research policy put in place a mechanism to promote the results of research	December 2018
	3.13.2.	1	Reinforce the funds allocated to the FIR, which should formally provide appropriate criteria for moving from research to innovation	December 2018
	3.13.3.	2	Incubator creation, Local Development Center	December 2018
	Topic 14 : Due diligence			
	3.14.1.	2	Take incentives in the institutional research policy, such as prioritizing the funding of women's projects to involve them more in research and innovation activities	July 2018
	3.14.2.	3	- Seek funding and implement the green plan project ; - Strengthen the botanical garden.	July 2018
	3.14.3.	1	- Establish an institutional policy for sustainable development - Create discussion tables between the different departments of the University -To strengthen the training and transmission of knowledge and know-how in sustainable development to the university community and the environment - Create living laboratories - Make scientific animations - Evaluate the institutional policy	June 2019
	Topic 15 : Expectation of all partners to adhere to a best practice standard in research collaborations			
	3.15.1.	1	To be more vigilant about the quality of partners through documents like RFI report	July 2018

Domain	Indicator number	Priority Level	Actions to be taken	Due date
	3.15.2.	2	Using RFI, once stabilized, as a reference framework in the choice of partners	July 2018
	3.15.3.	3	Capacity building of research teams, particularly to better address the development of equitable research contracts	December 2018

# Appendix A – Full listing of RFI Domains, Topics and Indicators

## RFI DOMAIN 1 : FAIRNESS OF OPPORTUNITY

### TOPIC 1. RELEVANCE TO COMMUNITIES – *in which research is done*

- 1.1.1. Research priorities in communities where research is being conducted.
- 1.1.2. Actions if there are no research priorities.
- 1.1.3. Justification to research low priority topics.

### TOPIC 2. EARLY ENGAGEMENT OF PARTNERS

- 1.2.1. Relationship between the 'main/lead/sponsoring' and 'other' partners.
- 1.2.2. SOPs for partner inclusion in study design.
- 1.2.3. SOPs for supportive actions to partners.

### TOPIC 3. MAKING CONTRIBUTIONS OF ALL PARTNERS EXPLICIT – *Fair Research Contracting*

- 1.3.1. Role clarification in research partnerships.
- 1.3.2. SOPs for conflict resolution.
- 1.3.3. Making potential impact explicit *before* starting research.

### TOPIC 4. ENSURING THAT *MATCHING* AND OTHER *CO-FINANCING* MECHANISMS DO NOT UNDERMINE OPPORTUNITIES FOR FAIR PARTICIPATION OF ALL PARTNERS

- 1.4.1. Equal co-financing.
- 1.4.2. Alternatives to equal co-financing.
- 1.4.3. Research outside national priorities and co-financing.

### TOPIC 5. RECOGNITION OF UNEQUAL RESEARCH MANAGEMENT CAPACITIES BETWEEN PARTNERS AND PROVIDING FOR APPROPRIATE CORRECTIVE MEASURES

- 1.5.1. Research Management Capacity.
- 1.5.2. Financial Management Capacity.
- 1.5.3. Contracting and Contract Negotiation capacity.

## DOMAIN 2. FAIR PROCESS

### TOPIC 6. MINIMIZING NEGATIVE IMPACT OF RESEARCH PROGRAMMES ON HEALTH AND OTHER SYSTEMS

- 2.6.1. Assessing potential harm of research.
- 2.6.2. Reducing negative impact of research.
- 2.6.3. Compensation for unintended (negative) consequences of research.

### TOPIC 7. FAIR LOCAL HIRING, TRAINING AND SOURCING

- 2.7.1. Local staffing.
- 2.7.2. Local sourcing of consumables and services.
- 2.7.3. Support for local capacity development.

### TOPIC 8. RESPECT FOR AUTHORITY OF LOCAL ETHICS REVIEW SYSTEMS

- 2.8.1. Research Ethics Approval.
- 2.8.2. Supporting local Research Ethics Review capacity.
- 2.8.3. Enabling access to global expertise.

### TOPIC 9. DATA OWNERSHIP, STORAGE, ACCESS AND USE

- 2.9.1. Data Ownership Agreements.
- 2.9.2. Material Transfer Agreements.
- 2.9.3. Rights of Use of Data for Publication.

### TOPIC 10. ENCOURAGE *FULL COST RECOVERY* BUDGETING AND COMPENSATION FOR ALL PARTNERS

- 2.10.1. Full Cost Recovery Budgeting.
- 2.10.2. Improving/Standardizing Budgeting.
- 2.10.3. External Financial Audit.

## **DOMAIN 3. FAIR SHARING OF BENEFITS, COSTS AND OUTCOMES**

### TOPIC 11. RESEARCH SYSTEM CAPACITIES

- 3.11.1. Training.
- 3.11.1. Research Management.
- 3.11.1. Increase (Predictable) Funding.

### TOPIC 12. INTELLECTUAL PROPERTY RIGHTS AND TECH TRANSFER

- 3.12.1. Technology Transfer.
- 3.12.2. Sharing Intellectual Property Rights.
- 3.12.3. Contracting Support for IPR.

### TOPIC 13. INNOVATION SYSTEM CAPACITIES

- 3.13.1. Localizing innovation.
- 3.13.2. Financing to link Research with Innovation.
- 3.13.3. Support Innovation Culture.

### TOPIC 14. DUE DILIGENCE

- 3.14.1. Promoting participation of women in science and innovation.
- 3.14.2. Negative environmental impact.
- 3.14.3. Achieving SDGs.

### TOPIC 15. EXPECTATION OF ALL PARTNERS TO ADHERE TO A BEST PRACTICE STANDARD IN RESEARCH COLLABORATIONS

- 3.15.1. Partner Requirements for Fair Research Partnerships.
- 3.15.2. Sponsor Requirements for Fair Research Partnerships.
- 3.15.3. Fair Research Contracting.