



Centre for the Programme of AIDS Research in SA

RESEARCH FAIRNESS
INITIATIVE REPORT

2020



CAPRISA, Research Fairness Initiative Report, 2020

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). 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.

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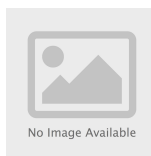
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URL of website where report is published:

<http://www.caprisa.org>

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Glossary



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Foreword

Executive Summary



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Overview of the Research Fairness Initiative (RFI) and how CAPRISA applied the RFI

Domain 1

Fairness of Opportunity

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

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



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Topic 1: Relevance to Communities in which Research is done

Why is 'relevance to communities' a Reporting Topic?

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

Definitions:

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

Existing Solution(s):

Adhering to stated international principles such as the principles of Alignment and Harmonisation outlined in the Paris Declaration.

Support host countries and institutions to set and regularly update their priorities in health, health research and innovation, and communicate these clearly.

Developing mutually acceptable agreements that can also deal with future priorities to ensure that this challenge does not result in stifling growth, innovation or expansion into other areas.

Visit the RFI website to see an increasing body of existing solutions, practices, and guidelines that you may want to incorporate in your organisation's research partnerships: <http://rfi.cohred.org>

1.1 Research priorities in communities where research is being conducted.

1.1.A

Please provide a narrative of how your organisation ensures that research is relevant to the communities in which it is conducted.

Answer:

None.

1.1.B

Does your organisation have institutional policies or practices in place regarding conducting research in line with the priorities of countries and populations in which you conduct research? research is relevant to the communities in which it is conducted.

Answer:

None.

1.1.C

Does your organization plan to formalize these practices or make them explicit? * mandatory if above answer is chosen. Same should be for all answers with this structure across the questionnaire.

Answer:

None.

1.1.D

If you do not have any attachments to share, please describe your practice in the text box below.

Answer:

None.



1.1.E

What steps does your organisation 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?

Answer:

None.

1.1.F

Please indicate what priority level your institution assigns indicator 1.1. for improvement

Answer:

None.

1.1 Actions if there are no research priorities.

1.2.A

Does your organization have institutional policies or practices in place regarding how to proceed when – with reasonable efforts – it cannot find “credibly set and regularly updated” research priorities for the population concerned?

Answer:

None.

1.2.B

Does your organization plan to formalize these practices or make them explicit?

Answer:

None.

1.2.C

If you do not have any attachments to share, please describe your practice in the text box below.

Answer:

None.

1.2.D

What steps does your organization intend to take in the next one or two years to improve regarding 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.

Answer:

None.

1.2.E

Please indicate what priority level your institution assigns indicator 1.2. for improvement



Answer:

None.

1.1 Justification to research low priority topics.

1.3.A

Does your organisation have policies or practices in place regarding how it justifies the choice of research topic if the proposed research does not directly address the priorities of the population in which it will be conducted?

Answer:

None.

1.3.B

Does your organization plan to formalize these practices or make them explicit?

Answer:

None.

1.3.C

If you do not have any attachments to share, please describe your practice in the text box below.

Answer:

None.

1.3.D

What steps does your organisation 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?

Answer:

None.

1.3.E

Please indicate what priority level your institution assigns indicator 1.3. for improvement

Answer:



None.

Topic 2: Early Engagement of Partners

Why is 'Early Engagement of Partners' a Reporting Topic?

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

Definitions

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

Existing Solution(s)

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



1.2 Relationship between the 'main/lead/sponsoring' and 'other' partners

2.1.A

Please describe how your organisation works towards engaging partners at an early stage, to ensure fair involvement of all

Answer:

None.

2.1.B

Does your organisation have a policy or practice in place regarding early engagement of partners, enabling them to influence focus, study design / protocol development, financing and implementation?

Answer:

None.

2.1.C

Does your organization plan to formalize these practices or make them explicit?

Answer:

None.

2.1.D

If you do not have any attachments to share, please describe your practice in the text box below.

Answer:

None.

2.1.E

What steps does your organisation 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?

Answer:

None.

2.1.F

Please indicate what priority level your institution assigns indicator 2.1. for improvement

Answer:

None.



1.2 SOPs for supportive actions to partners

2.2.A

Does your organisation have an institutional policy or practice in place for identify areas for focusing capacity building in partners included in research programmes?

Answer:

None.

2.2.B

Does your organization plan to formalize these practices or make them explicit?

Answer:

None.

2.2.C

In instances where you are the partner with less capacity – does your organisation have policies or practices in place requiring capacity building efforts for your own institution as part of the partnership agreement?

Answer:

None.

2.2.D

Does your organization plan to formalize these practices or make them explicit?

Answer:

None.

2.15.E

If you do not have any attachments to share, please describe your practice in the text box below.

Answer:

None.

2.2.F

What steps does your organisation 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?

Answer:

None.

2.2.G

Please indicate what priority level your institution assigns indicator 2.2. for improvement

Answer:

None.



Topic 3: Making Contributions of Partners Explicit

Why is 'Making Contributions of Partners Explicit' a Reporting Topic?

The essence of high quality partnerships is good contracting . Many of the conditions conducive to good research and innovation partnerships can be arranged through expert contract negotiation. In most research partnerships, the expertise needed for negotiations and contracting is highly skewed.

Definitions

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

Timely contracting

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

Existing Solution(s)

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

1.3 Role clarification in research partnerships

1.A

Please provide a narrative describing how your organisation takes steps to ensure that all partners roles and responsibilities are made explicit prior to research taking place.

Answer:

None.

1.B

Does your organisation have policies or explicit statements on roles, responsibilities, fair contributions and fair benefits for all partners during research, with regard to the key areas outlined in the list below? Authorship on any publication resulting from this study?

Answer:

None.

1.C

Does your organization plan to formalize these practices or make them explicit?

Answer:

None.

1.D

Feedback to study population?

Answer:

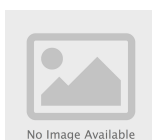
None.

1.E

Does your organization plan to formalize these practices or make them explicit?

Answer:

None.



1.F

Follow-up Actions. [Data ownership and Intellectual Property Rights related to research projects are dealt with separately later]?

Answer:

None.

1.G

Does your organization plan to formalize these practices or make them explicit?

Answer:

None.

1.H

SOPs for conflict resolution?

Answer:

None.

1.I

Does your organization plan to formalize these practices or make them explicit?

Answer:

None.

1.I

If you do not have any attachments to share, please describe your practice in the text box below.

Answer:

None.

1.J

What steps does your organisation 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?

Answer:

None.

1.K

Please indicate what priority level your institution assigns indicator 3.1. for improvement

Answer:

None.



1.3 Making potential beneficial impact explicit before starting research.

2.A

Does your organisation have institutional policies or practices in place regarding making the potential benefits to participant populations explicit – at time of study and partnership development?

Answer:

2.B

Does your organization plan to formalize these practices or make them explicit?

Answer:

2.C

If you do not have any attachments to share, please describe your practice in the text box below.

Answer:

2.D

Please indicate what priority level your institution assigns indicator 3.2. for improvement

Answer:

Topic 4: Ensuring That Matching and Other Co-Financing Mechanisms Do Not Undermine Opportunities for Fair Participation of All Partners

Why is 'Ensuring That Matching and Other Co-Financing Mechanisms Do Not Undermine Partner Opportunities for Fair Participation of All Partners' a Reporting Topic?

'Co-payments' are increasingly expected as part of partnerships. This may imply equal financial contributions even though standard of living in one partner institution or country is substantially higher/lower than in another¹⁸. As a result, equality in payments are not usually possible, which is often a major reason why partnership equality suffers also in other areas, such as decision-making in study design or focus.

Definitions

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

Fair matching contributions

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

Existing Solution(s)

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



1.4 Equal co-financing.

4.1.A

Please describe how your organization works towards promoting fairness in relation to co-financing and equitable contribution of partners to research.

Answer:

4.1.B

Does your organisation have institutional policies or practices in place to deal with differences in spending ability between partners?

Answer:

4.1.C

Does your organization plan to formalize these practices or make them explicit?

Answer:

4.1.D

In particular, does your organisation consider the following issues: 'fair' co-financing in terms of financial contribution to total research expenditures

Answer:

4.1.E

In particular, does your organisation consider the following issues: substantial differentials in currency strength and organisational budgets of partners in a partnership

Answer:

4.1.F

In particular, does your organisation consider the following issues: 'fair' or 'equitable' contributions if there are great differentials in purchasing power

Answer:

4.1.G

If you do not have any attachments to share, please describe your practice in the text box below.

Answer:

4.1.H

What steps does your organisation 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?

Answer:



1.4 Alternatives to equal co-financing.

4.2.A

Does your organisation have policies or practices in place regarding the measurement of non-financial contributions of partners?

Answer:

4.2.B

Does your organization plan to formalize these practices or make them explicit?

Answer:

4.2.C

If so, is equality in partnership defined beyond 'equal co-financing' or 'co-financing in proportion to benefits'?

Answer:

4.2.D

If you do not have any attachments to share, please describe your practice in the text box below.

Answer:

4.2.E

What steps does your organisation 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?

Answer:

4.2.F

Please indicate what priority level your institution assigns indicator 4.2. for improvement

Answer:

1.4 Research outside national priorities and co-financing.

4.3.A

Does your organisation have institutional policies or practices in place regarding discounting 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?

Answer:

4.3.B

Does your organization plan to formalize these practices or make them explicit?

Answer:

4.3.C

If you do not have any attachments to share, please describe your practice in the text box below.

Answer:

4.3.D

What steps does your organisation 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?

Answer:

4.3.E

Please indicate what priority level your institution assigns indicator 4.3. for improvement

Answer:



Topic 5: Recognition of Unequal Research Management Capacities Between Partners and Providing for Appropriate Corrective Measures

Why is 'Recognition of Unequal Research Management Capacities Between Partners and Providing Appropriate Corrective Measures' a Reporting Topic?

Collaborations are key to research development^{19 20}. Successful collaborations do not just depend on field-specific research expertise. Successful collaborations are also crucially dependent on the institutional / organisational ability to manage all the processes surrounding actual research including project management, financial management, contracting and contract negotiations. A reduced capacity in any of these areas may mean reduced ability for some partners to obtain fair terms for collaboration, to guarantee financial transparency, or to deliver projects on time. For the entire partnership, important gaps in management capacity puts delivery and quality of research results, as well as reputations at risk. There is, therefore, a special responsibility for institutions in the role of 'lead partner' to assess key management competencies of partners and to provide appropriate supporting actions where needed, as part of beginning of research collaborations.

Definitions

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

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

Existing Solution(s)

COHRED provides specific expertise in contract negotiation and contracting through its Fair Research Contracting group. See: www.cohred.org/frc

The ESSENCE group of research funders provides a guide on research budgeting. See: http://www.who.int/tdr/publications/five_keys/en/.

In accounting, there are several international standards for financial reporting. Choose one of these.

1.5 Research Management Capacity

5.1.A

Please provide a narrative describing how your organisation determines research and financial management capacities of partners, or if you are the partner with less capacity, how your organisation ensures that its own capacity in these areas can be increased in the partnership context.

Answer:

5.1.B

Does your organisation have institutional policies or practices in place for determining research management capacity of partners prior to entering into agreements – specifically when your organisation is the ‘lead’ partner in a research programme?

Answer:

5.1.C

Does your organization plan to formalize these practices or make them explicit?

Answer:

5.1.D

Do these policies or practices include mechanisms to increase research management capacity of partners when gaps are identified?

Answer:

5.1.E

If you do not have any attachments to share, please describe your practice in the text box below.

Answer:

5.1.F

What steps does your organisation 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?



Answer:

5.1.G

Please indicate what priority level your institution assigns indicator 5.1. for improvement

Answer:

1.5 Financial Management Capacity

5.2.A

Does your organisation have institutional policies or practices in place for determining financial management capacity of partners – specifically when your organisation is the ‘lead’ partner in a research programme?

Answer:

5.2.B

Does your organization plan to formalize these practices or make them explicit?

Answer:

5.2.C

Do these policies or practices include mechanisms to increase financial management capacity of partners when gaps are identified?

Answer:

5.2.D

Does your organisation use internationally accepted accounting practices, and require your partners to also use these?

Answer:

5.2.E

If you do not have any attachments to share, please describe your practice in the text box below.

Answer:

5.2.F

What steps does your organisation 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?

Answer:



5.2.F

Please indicate what priority level your institution assigns indicator 5.2. for improvement

Answer:

1.5 Contracting and Contract Negotiation capacity

5.3.A

Does your organisation have institutional policies or practices in place for determining contracting and contract negotiation capacity of partners – specifically when your organisation is the ‘lead’ partner in a research programme?

Answer:

5.3.B

Does your organization plan to formalize these practices or make them explicit?

Answer:

5.3.C

Do these policies or practices include mechanisms to increase contracting and contract negotiation capacity of partners when gaps are identified?

Answer:

5.3.D

Do these policies or practices include mechanisms to increase contracting and contract negotiation capacity of partners when gaps are identified?

Answer:

5.3.E

If you do not have any attachments to share, please describe your practice in the text box below.

Answer:

5.3.F

What steps does your organisation 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?

Answer:



5.3.G

Please indicate what priority level your institution assigns indicator 5.3. for improvement

Answer:

Domain 2

Fair Process

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



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Topic 6: Minimising Negative Impact of Research Programmes on Systems

Why is 'Minimising Negative Impact of Research Programmes on Systems' a Reporting Topic?

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

Examples include:

Recruiting nurses out of the health service as trial monitors in a large clinical trial in resource- poor settings may deprive the health system of essential staff needed to deliver care.

External researchers may cause health, cultural or social harms through the manner in which research is being conducted, results are being reported or health interventions based on the research are being implemented if they do not have sufficient access to local expertise.

Externally funded research may take up the time and resources of nationally funded institutions and experts so that locally needed research may suffer.

Existing Solution(s)

Include an explicit review of 'side-effects' or 'non-intended consequences' and of 'opportunity costs' of research collaborations, especially where it concerns research in resource-poor populations or countries.

Engage local scientists and, where appropriate, community representatives in study design and implementation.

Ensure that communication between partners remains consistently high and examines potential negative impact throughout the collaboration.

Use existing guidelines for fair research partnerships and practice while preparing and conducting research are adopted during the research programme.

Find, modify and simplify existing (environmental, biodiversity, policy, etc.) impact assessment protocols, as there is no 'research impact assessment' tool available at this time.

2.6 Assessing potential or actual harm of research.

6.1.A

Please describe how your organisation takes measures to reduce the impact on research on national systems.

Answer:

6.1.B

Does your organisation have policies or practices in place regarding conducting 'system impact assessments' of partners - specifically when your organization is the 'lead' partner in a research programme - and particularly when conducting research in low-resource environments?

Answer:

6.1.C

Does your organization plan to formalize these practices or make them explicit?

Answer:

6.1.D

Do these policies include assessment of both potential and actual negative impact, and dissemination of results to partners?

Answer:

6.1.E

If you do not have any attachments to share, please describe your practice in the text box below.

Answer:

6.1.F

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

Answer:



6.1.G

Please indicate what priority level your institution assigns indicator 6.1. for improvement

Answer:

2.6 Reducing negative impact of research

6.2.A

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

Answer:

6.2.B

Does your organization plan to formalize these practices or make them explicit?

Answer:

6.2.C

If you do not have any attachments to share, please describe your practice in the text box below.

Answer:

6.2.D

Please indicate what priority level your institution assigns indicator 6.2. for improvement

Answer:



2.6 Compensation for unintended (negative) consequences of research

6.3.A

If, in spite of taking adequate preventive action, there are substantial negative consequences of research programmes for individuals, populations or countries, does your organisation have institutional policies or practices in place to deal with this effectively and adequately?

Answer:

None.

6.3.B

Does your organization plan to formalize these practices or make them explicit?

Answer:

None.

6.3.C

Does your organisation involve all partners in this?

Answer:

None.

6.3.D

Does your organization plan to formalize these practices or make them explicit?

Answer:

None.

6.3.E

If you do not have any attachments to share, please describe your practice in the text box below.

Answer:

None.

6.3.F

What steps does your organisation 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?

Answer:

None.

6.3.F

Please indicate what priority level your institution assigns indicator 6.3. for improvement

Answer:

None.



Topic 7: Fair Local Hiring, Training and Sourcing

Why is 'Fair Local Hiring, Training and Sourcing' a Reporting Topic?

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

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

Definitions

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

Existing Solution(s)

An explicit assessment can be done of what can be (reasonably) sourced locally or regionally, including expertise, networks and business. A plan to maximize use of local resources should become part of a best practice contract.

There is a wealth of literature on 'research capacity building'. Use one of the many guides and guidelines available from the RFI Website resource pages: <http://rfi.cohred.org/relevant-source-documents-papers-books-and-websites/>

2.7 Local staffing and sourcing of consumables and services.

7.1.A

Please provide a paragraph describing how your organisation works towards promoting fair hiring, training of staff and sourcing of consumables locally

Answer:

7.1.B

Does your organisation have institutional policies and practices in place regarding hiring and remuneration of local staff?

Answer:

7.1.C

Does your organization plan to formalize these practices or make them explicit?

Answer:

7.1.D

Does your organisation have institutional policies and practices related to optimizing use of local materials, rather than bringing in consumables from outside the country in which research is being conducted?

Answer:

7.1.E

Does your organization plan to formalize these practices or make them explicit?

Answer:

7.1.F

If you do not have any attachments to share, please describe your practice in the text box below.

Answer:



7.1.G

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

Answer:

7.1.G

Please indicate what priority level your institution assigns indicator 7.1. for improvement

Answer:

2.7 Support for local capacity development.

7.2.A

Does your organisation have institutional policies or practices in place to increase local staff and/or increase ability to produce quality products and services locally, when there is lack of availability of local expert staff, or inability to produce consumables or services of sufficient quality to satisfy research standards requirements?

Answer:

7.2.B

Does your organization plan to formalize these practices or make them explicit?

Answer:

7.2.C

If you do not have any attachments to share, please describe your practice in the text box below.

Answer:

7.2.D

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

Answer:

7.2.E

Please indicate what priority level your institution assigns indicator 7.2. for improvement

Answer:



Topic 8: Respect for Authority of Local Ethics Review Systems

Why is having 'Respect for Authority of Local Ethics Review Systems' a Reporting Topic?

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

Existing Solution(s)

There are many REC/IRB training courses available around the world. Assessment of host expertise in this field may show deficiencies, in which case remedial steps can be taken, for example, specific additional training related to research topics or provision of a budget for a host to appoint a third party as a reviewer.

Install an expert support system, such as the RHInnO Ethics platform (www.rhinno.net) or some of the many other ethics review capacity services available. Some are listed on the RFI website resource pages: <http://rfi.cohred.org/relevant-source-documents-papers-books-and-websites/>.

Most international ethics guidelines are widely read and accepted as best practice. Make an explicit statement in the RFI Report on which (one or more) are the foundation for your organisation's policies and practices in ethics review of research collaborations.

2.8 Research Ethics Approval

8.1.A

Does your organisation have institutional policies and practices for dealing with the ethics review of research in which you participate?

Answer:

8.1.B

Does your organization plan to formalize these practices or make them explicit?

Answer:

8.1.C

Do these specify the need for and process of finding local REC/IRB, and indicate where final responsibility for approval lies?

Answer:

8.1.D

Do these specify which international ethics guidelines are the basis for your organisation's policies and practices related to ethics review?

Answer:

8.1.E

If you do not have any attachments to share, please describe your practice in the text box below.

Answer:

8.1.F

What steps does your organisation 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 organisation is a partner?

Answer:



8.1.G

Please indicate what priority level your institution assigns indicator 8.1. for improvement is a partner?

Answer:

2.8 Supporting local Research Ethics Review capacity

8.2.A

Does your organisation institutional policies or practices in place 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?

Answer:

8.2.B

Does your organization plan to formalize these practices or make them explicit?

Answer:

8.2.C

Do these include enabling access to global expertise independent of the main sponsors, given the increasingly complex global research problems that exist?

Answer:

8.2.D

If you do not have any attachments to share, please describe your practice in the text box below.

Answer:

8.2.E

What steps does your organisation 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 organisation is a partner?

Answer:

8.2.E

Please indicate what priority level your institution assigns indicator 8.2. for improvement

Answer:



Topic 9: Data Ownership, Storage, Access and Use

Why is having 'Respect for Authority of Local Ethics Review Systems' a Reporting Topic?

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

Existing Solution(s)

There are many REC/IRB training courses available around the world. Assessment of host expertise in this field may show deficiencies, in which case remedial steps can be taken, for example, specific additional training related to research topics or provision of a budget for a host to appoint a third party as a reviewer.

Install an expert support system, such as the RHInno Ethics platform (www.rhinno.net) or some of the many other ethics review capacity services available. Some are listed on the RFI website resource pages: <http://rfi.cohred.org/relevant-source-documents-papers-books-and-websites/>.

Most international ethics guidelines are widely read and accepted as best practice. Make an explicit statement in the RFI Report on which (one or more) are the foundation for your organisation's policies and practices in ethics review of research collaborations.

2.9 Data Ownership and Accessibility Agreements.

9.1.A

Please provide a description of how your organization deals with data ownership and use within its collaborations?

Answer:

9.1.B

Does your organisation have institutional policies or practices in place for deciding on data ownership agreements - including rights of use of data for publication - with all partners if your organisation is the 'lead' partner?

Answer:

9.1.C

Does your organization plan to formalize these practices or make them explicit?

Answer:

9.1.D

Does your organisation have requirements in place for your own organisation to share in ownership even if your organisation is not the 'lead' partner? If yes, please attach examples below or provide a description if no attachments are available.

Answer:

9.1.E

Does financial contribution matter when deciding on data-ownership and use? If yes, please attach examples below or provide a description if no attachments are available.

Answer:

9.1.F

If you do not have any attachments to share, please describe your practice in the text box below.

Answer:



9.1.G

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

Answer:

9.1.H

Please indicate what priority level your institution assigns indicator 9.1. for improvement

Answer:

2.9 Material Transfer Agreements

9.2.A

Does your organisation have institutional policies or practices in place for deciding on material transfer agreements, including storage and future use, between partners?

Answer:

9.2.B

Does your organization plan to formalize these practices or make them explicit?

Answer:

9.2.C

Do you use internationally accepted MTAs or do you use other? If yes, please attach examples below or provide a description if no attachments are available.

Answer:

9.2.D

If you do not have any attachments to share, please describe your practice in the text box below.

Answer:

9.2.E

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

Answer:

9.2.F

Please indicate what priority level your institution assigns indicator 9.2. for improvement

Answer:



Topic 10: Encouraging Full Cost Recovery Budgeting and Compensation

Why is 'Encouraging Full Cost Recovery Budgeting and Compensation' a Reporting Topic?

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

Definitions

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

Existing Solution(s)

Build agreements on the systems that need to be in place using the Research Fairness Initiative as a guide.

Agreements from any lead partner or external research sponsor to engage in joint budgeting for all reasonable overhead costs not simply allowing a maximum percentage of grant.

Providing realistic and equitable allocations to overhead costs for all partners taking into consideration that different partners may have very different base-funding.

2.10 Full Cost Recovery Budgeting

10.1.A

Please provide a narrative describing what measures your organisation takes to deal with budgeting and compensation in research partnerships?

Answer:

10.1.B

Does your organisation institutional policies or practices in place which require itself and its partners do 'full cost recovery' budgeting as opposed to 'marginal' or other incomplete recovery budgeting?

Answer:

10.1.C

Does your organization plan to formalize these practices or make them explicit?

Answer:

10.1.D

If you do not have any attachments to share, please describe your practice in the text box below.

Answer:

10.1.E

Please indicate what priority level your institution assigns indicator 10.1. for improvement

Answer:



2.10 Improving/Standardising Budgeting

10.2.A

Does your organisation have institutional policies or practices in place requiring partners to provide standardized budgets?

Answer:

10.2.B

Does your organization plan to formalize these practices or make them explicit?

Answer:

10.2.C

Does your organisation prescribe or recommend international research budgeting guidelines?

Answer:

10.2.D

Does your organisation provide financial expertise to partners needing support to prepare and manage research budgets?

Answer:

10.2.E

Does your organisation have policies or practices in place requiring itself and its partners to adhere to internationally accepted accounting practices, including the conduct of external financial audit on research programmes?

Answer:

10.2.F

Does your organization plan to formalize these practices or make them explicit?

Answer:

10.2.G

If you do not have any attachments to share, please describe your practice in the text box below.

Answer:

10.2.H

What steps does your organisation 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?

Answer:

10.2.I

Please indicate what priority level your institution assigns indicator 10.2. for improvement

Answer:



Domain 3

Fair Sharing of Benefits, Costs & Outcomes

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

Topic 11: Research System Capacities

Why is 'Research System Capacities' a Reporting Topic?

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

Definitions

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

Research system capacity

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

Existing Solution(s)

There is a wealth of literature on research capacity building, and some on evaluation⁴⁴. Much of this focuses on training of individuals rather than on increasing research system performance. Some publications are available through the RFI Website resource page: <http://rfi.cohred.org/relevant-source-documents-papers-books-and-websites/>

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



3.11 Training

11.1.A

Please provide a paragraph describing what your organisation does to promote the improvement of research system capacities for partners who have fewer resources, or if you are the partner with less capacity, how your organisation ensures that the collaborations it enters into are geared towards also improving your own capacity

Answer:

11.1.B

Does your organisation have institutional policies or practices in place requiring and/or providing resources for training and higher education of research staff?

Answer:

11.1.C

Does your organization plan to formalize these practices or make them explicit?

Answer:

11.1.D

Does your organisation have criteria to determine these priorities?

Answer:

11.1.E

Does your organisation specify requirements or budget allocations for training?

Answer:

11.1.F

Does your organisation specifically provide training in research management, including staff in the following categories: financial, project management, communication, contract managers, community or business liaison?

Answer:

11.1.G

If you do not have any attachments to share, please describe your practice in the text box below.

Answer:

11.1.H

What steps does your organisation 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?

Answer:

11.1.I

Please indicate what priority level your institution assigns indicator 11.1. for improvement

Answer:



3.11 Increase (Predictable) Funding.

11.2.A

Does your organisation have institutional policies or practices in place for supporting partners to become better able to identify, write applications for and manage competitive grants, and to advocate national authorities to increase research system funding in a more predictable manner?

Answer:

11.2.B

Does your organization plan to formalize these practices or make them explicit?

Answer:

11.2.C

If you do not have any attachments to share, please describe your practice in the text box below.

Answer:

11.2.D

What steps does your organisation 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?

Answer:

11.2.E

Please indicate what priority level your institution assigns indicator 11.2. for improvement

Answer:

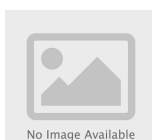
Topic 12: Intellectual Property Rights and Tech Transfer

Why is 'Intellectual Property Rights and Tech Transfer' a Reporting Topic?

Unfair provisions of sharing intellectual property rights will affect the individuals, institutions and countries that have participated or invested in the research negatively, reducing the potential benefits they would have received if intellectual property rights were shared.

Existing Solution(s)

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



3.12 Technology Transfer

12.1.A

Please describe how your organization deals with technology transfer and intellectual property rights in research collaborations.

Answer:

12.1.B

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

Answer:

12.1.C

Does your organization plan to formalize these practices or make them explicit?

Answer:

12.1.D

If you do not have any attachments to share, please describe your practice in the text box below.

Answer:

12.1.E

What steps does your organisation intend to take in the next one or two years to improve its policy and practice of technology transfer?

Answer:

12.1.F

Please indicate what priority level your institution assigns indicator 12.1. for improvement

Answer:

3.12 Sharing Intellectual Property Rights

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?

Answer:

12.2.B

Does your organization plan to formalize these practices or make them explicit?

Answer:

12.2.C

If you do not have any attachments to share, please describe your practice in the text box below.

Answer:

12.2.D

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

Answer:

12.2.E

Please indicate what priority level your institution assigns indicator 12.2. for improvement

Answer:



3.12 Contracting Support for IPR

12.3.A

Does your organisation have a policy or practice in place which provides for (as 'lead' partner) or requires (as 'other partner') support for IPR contracting to ensure fairness?

Answer:

12.3.B

Does your organization plan to formalize these practices or make them explicit?

Answer:

12.3.C

If you do not have any attachments to share, please describe your practice in the text box below.

Answer:

12.3.D

What steps does your organisation 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?

Answer:

12.3.E

Please indicate what priority level your institution assigns indicator 12.3. for improvement

Answer:

Topic 13: Innovation System Capacities

Why is 'Innovation System Capacities' a Reporting Topic?

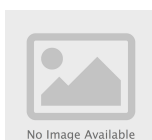
For purposes of this RFI Reporting Guide, we define 'innovation system capacity' as the ability of countries or institutions to transform research knowledge into useful and scalable products or services. Countries with high innovation system capacities benefit from spin-off economic activities where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

Existing Solution(s)

Create specific commercialization plans, and support partners' ability to take new knowledge into production for scalable solutions.

Refer to increasing impact evaluations of 'innovation hubs'.

Involve Ministries of 'Trade and Industry' in research partnership design.



3.13 Ensuring Socio-Economic benefits for Local Communities

13.1.A

Please describe in a narrative what measures your organization takes to ensure that research collaborations promote the develop of innovation capacity in countries and partners where this is lacking, or if your own country / organization requires this capacity, how you ensure this is taken into account in research collaborations.

Answer:

13.1.B

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

Answer:

13.1.C

Does your organization plan to formalize these practices or make them explicit?

Answer:

13.1.D

If you do not have any attachments to share, please describe your practice in the text box below.

Answer:

13.1.E

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

Answer:

13.1.F

Please indicate what priority level your institution assigns indicator 13.1. for improvement

Answer:

3.13 Support Innovation Culture

13.2.A

Financial support for innovation?

Answer:

13.2.B

Does your organization plan to formalize these practices or make them explicit?

Answer:

13.2.C

Non-financial support for innovation – e.g stimulating and facilitating discussion on innovation following research?

Answer:

13.2.D

Does your organization plan to formalize these practices or make them explicit?

Answer:

13.2.E

If you do not have any attachments to share, please describe your practice in the text box below.

Answer:

13.2.F

What steps does your organisation intend to take in the next one or two years to improve its practice regarding advocacy and stimulation of an innovation culture?

Answer:

13.2.G

Please indicate what priority level your institution assigns indicator 13.2. for improvement



Answer:

Topic 14: Due Diligence

Why is 'Due Diligence' a Reporting Topic?

Excellent research requires excellent research institutions, which in turn can be boosted by a system conducive to research and innovation. Inadequate provision for minimising the environmental, social and cultural impact of research and innovation activities may limit future research opportunities of institutions or countries.

Similarly, positive actions should be reflected upon and adopted whilst conducting research, such as following and implementing the Sustainable Development Goals (SDGs) and encouraging women's participation in science.

Existing Solution(s)

Conduct a pre-research assessment to identify key areas on environmental impact in the context of the research that is being contemplated. Create a plan that addresses these environmental, social and cultural concerns without detracting from the primary research purpose and without (unreasonable) increase in project costs⁵². Refer to national and international guidelines stimulating the equal participation of women in science.



3.14 Achieving International Development Goals.

14.1.A

Please provide a description for how your organization ensures that it works towards achieving national and global social and development goals when working in collaboration with others

Answer:

14.1.B

Does your organisation have explicit executive policies or strategies to maximize the contributions of its research collaborations towards achieving one or more international development goals?

Answer:

14.1.C

Does your organization plan to formalize these practices or make them explicit?

Answer:

14.1.D

Are there any specific goals that act as a guideline for your institution? If yes, please provide a description in the box below

Answer:

14.1.E

If you do not have any attachments to share, please describe your practice in the text box below

Answer:

14.1.F

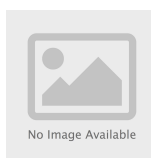
What steps does your organisation intend to take in the next one or two years to improve its policy and practice of aligning your research efforts with organisational support to achieve international development goals?

Answer:

14.1.G

Please indicate what priority level your institution assigns indicator 14.1. for improvement

Answer:



3.14 Negative environmental impact

14.2.A

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

Answer:

14.2.B

Does your organization plan to formalize these practices or make them explicit?

Answer:

14.2.C

If you do not have any attachments to share, please describe your practice in the text box below.

Answer:

14.2.D

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

Answer:

14.2.E

Please indicate what priority level your institution assigns indicator 14.2. for improvement

Answer:

3.14 Promoting participation of women in science and innovation.

14.3.A

Does your organisation have a policy or practice in place for both itself and its partners concerning the participation of women in science, at all levels of research?

Answer:

14.3.B

Does your organization plan to formalize these practices or make them explicit?

Answer:

14.3.C

Does your organisation follow any guidelines to act if inequity is found? If yes, please provide a description in the box below. [In cases where there is an under representation of men, the same applies to dealing with this inequity.]

Answer:

14.3.D

If you do not have any attachments to share, please describe your practice in the text box below.

Answer:

14.3.E

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

Answer:

14.3.F

Please indicate what priority level your institution assigns indicator 14.3. for improvement

Answer:



Topic 15: Expectation of All Partners to Adhere to a Best Practice Standard in Research Collaboration

Why is the 'Expectation of All Partners to Adhere to a Best Practice Standard in Research Collaborations' a Reporting Topic?

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

Existing Solution(s)

There are several existing guidelines from a variety of organisations and countries covering key aspects of the RFI. Adopt one or more as basis for organisational behaviour and making sure that key staff involved with research collaborations are aware of this. Examples include guidelines like the KFPE53, IRD54 and the CCGHR55 to name a few. More can be found at the RFI Website Resource Page: <http://rfi.cohred.org/relevant-source-documents-papers-books-and-websites/>.

<http://rfi.cohred.org/relevant-source-documents-papers-books-and-websites/>

3.15 Partner Requirements for Fair Research Partnerships

15.34.A

Please provide a paragraph which describes how your organisation works towards ensuring that all partners and all collaborations are held to a high standard of partnership practice in research collaboration.

Answer:

15.34.B

Research Partners

Answer:

15.34.C

Does your organization plan to formalize these practices or make them explicit?

Answer:

15.34.D

Research Funders/Sponsors

Answer:

15.34.E

Does your organization plan to formalize these practices or make them explicit?

Answer:

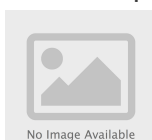
15.34.F

If you do not have any attachments to share, please describe your practice in the text box below.

Answer:

15.34.G

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



Answer:

15.34.H

Please indicate what priority level your institution assigns indicator 15.1. for improvement

Answer:

15.1.A

Does your organisation have policies or practices in place requiring itself and its partners to adhere to accepted / available best practice guidelines for fair research partnerships?

Answer:

15.1.B

Does your organization plan to formalize these practices or make them explicit?

Answer:

15.1.C

If you do not have any attachments to share, please describe your practice in the text box below.

Answer:

15.1.D

What steps does your organisation 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?

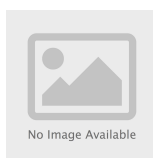
Answer:

15.1.E

Please indicate what priority level your institution assigns indicator 15.2. for improvement

Answer:

3.15 Expectations to adhere to accepted or available best practice for responsible research collaborations.



Summary of Short Term actions for CAPRISA

(This would list all indicators that were selected as high priority by the organization, and their description of how they plan to improve over the next 2 year cycle)