

foundation
BOTNAR



Research Fairness Initiative Report 2022

Fondation Botnar, Research Fairness Initiative Report

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 organisation'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 organisation. The Council on Health Research for Development does not endorse, nor take responsibility for, the specific content of the report.

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Glossary

COHRED	Council on Health Research for Development
COO	Chief Operating Officer
KFPE	Commission for Research Partnerships with Developing Countries
LMIC	Low- and middle-income country
RFI	Research Fairness Initiative
SDG	Sustainable Development Goal
ToC	Theory of Change
UNICEF	United Nations Children's Fund
WHO	World Health Organization

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Fairness of opportunity



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Foreword

Investing in emerging ideas that are creating a better future for young people.

Fondation Botnar is a Swiss-based philanthropic foundation that was created in 2003. The foundation aims at improving the health and wellbeing of children and young people in growing urban environments, particularly in low- and middle-income countries. To achieve this, Fondation Botnar champions solutions based on **artificial intelligence and digital technology**, supports the most promising research approaches, catalyses the interaction of relevant key partners, and invests in scalable ideas.

The foundation operates on the **concepts of systemic and sustainable transformation to empower** its grantees and to achieve a meaningful impact in the communities where its funded projects take place. Specifically, Fondation Botnar aims to achieve a systemic impact in advancing young people's wellbeing by enabling positive shifts in personal, societal, and environmental drivers.

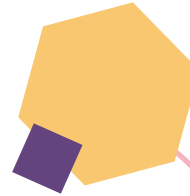
In light of its global operations and the large proportion of work involving institutions and communities in low- and middle-income countries, Fondation Botnar strives for the continuous optimisation of those concepts and best practices, especially in funder-applicant relations. Fondation Botnar has, therefore, seized the **opportunity to become the first funding body** to undergo the Research Fairness Initiative (RFI) reporting and certification process, in the hope that others may follow.



Executive summary

The **Research Fairness Initiative (RFI)** is an organisational learning tool that was developed by the **Council of Health Research for Development (COHRED)** to encourage institutions to describe how they take measures to create fair partnerships in research and innovation. The RFI is composed of three domains, each of which is divided into five topics. Each topic has either two or three indicators containing questions concerning current institutional practices, relevant standard operating procedures, policies, or guidelines used by the institution.

Finally, for each indicator, the institution is asked to outline future actions for improving fairness and performance in the upcoming years.



The first domain

→ *entitled fairness of opportunity*

aims to improve the participation of all stakeholders concerned in the research at all relevant stages of its development. This sets the scene for fair and efficient research conduct, as well as an efficient distribution of costs and benefits between partners.

As a donor, Fondation Botnar aims to fund projects conducted within fair partnerships that address the needs of the populations within which the research will be conducted and where all partners are given an equal voice with regard to decision making. The foundation recognises further steps could be taken to make this approach even more explicit in the future, such as requiring grantees to provide proof of alignment with the partnership principles of the Commission for Research Partnerships with Developing Countries (KFPE) and responding to certain questions inspired by the RFI.

The second domain

→ *entitled fair process*

aims to improve how research is conducted and how research partnerships are implemented. By ensuring clear communication and understanding between partners, it is more likely that all partners will live up to each other's expectations.

Fondation Botnar intends to fund projects that will, in no way, negatively impact the communities where they take place. Therefore, there is a clear commitment to assessing the risks of projects, along with finding solutions to minimise them, including fair local hiring, training, and sourcing. For the foundation, this also means respecting local ethical authorities and their review systems. Finally, in terms of data ownership and management, the foundation believes in a Global Access approach but recognises a more careful evaluation of grantees' performance in this regard may be necessary.

The third domain

→ *entitled fair sharing of benefits, costs & outcomes*

aims to improve fairness in the distribution of short-medium- and long-term benefits, costs and outcomes of the individual studies, and of the research collaboration. This enables all partners to grow their own research capacity and increase their ability to attract research and research funding.

Fondation Botnar envisions a future where young people are given a voice in order to accomplish impactful, transformative, and lasting change. To achieve this goal, the foundation aims at increasing its investment in strengthening the capacity of young people in general and in training its grantees, both academically and in terms of soft skills, in order to maximise their potential to bring positive change into their communities, through initiatives such as the Changemaker Strategy and the Cross-Cutting Capacity-Strengthening Platform.

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

Purpose of the RFI

The Research Fairness Initiative (RFI) is a continuous improvement system developed by the Council on Health Research for Development (COHRED) to improve the fairness, efficiency, and impact of research collaborations globally. The RFI was created with the aim of improving global health, equity, and development.

However, the initiative may be applied to any field of scientific collaboration, and it may be used by anyone who engages as an actor or funder of research and research partnerships. A higher level of fairness in research has shown to result in greater efficiency and impact, longer-lasting partnerships, less conflict, and reduced reputational risks. Hence, RFI is of relevance to stakeholders in any research collaboration where resources in research, administration, and know-how may be distributed unequally. The RFI seeks to enable more capable research and innovation systems in every country to deal with the local, regional, and global health

and development challenges with a long-term view. The RFI is in direct support of the Sustainable Development Goals (SDGs) – particularly SDG 17: “Strengthen the means of implementation and revitalise the global partnership for sustainable development.”

RFI domains, topics, and indicators

The RFI is built on three domains which are each divided into five subtopics. Each topic is further subdivided into three indicators, resulting in a total of 45 indicators. For each indicator, organisations are required to describe their current organisational practices, reference relevant standard operating procedures, policy directives, or other written guidelines through an attachment or link, and to report on any future steps to improve that particular indicator over a two-year period.

How Fondation Botnar applied the RFI

Fondation Botnar contracted the Swiss Tropical and Public Health (TPH) Institute to lead its RFI reporting. For this, during May and June 2021, Marta Palmeirim, Jasmina Saric, and Peter Steinmann from the Swiss TPH conducted a series of interviews with key informants from Fondation Botnar. Each participant was interviewed about 11 indicators that were in some way related to their roles and responsibilities at the foundation. To formulate the response to the questions of any given indicator, more than one interviewee was consulted. In addition, an in-depth review of key internal documents allowed for the completion of the answers to each indicator. The drafted report was reviewed by senior staff of Fondation Botnar and received approval prior to publication. Fondation Botnar has supported COHRED with a grant for the digitisation of the RFI during 2019-2022 and references the RFI in connection with partnership approaches described in the Strategy 2020-2022.

Domain 1

Fairness of opportunity

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

Domain 2

Fair process

aims to improve fairness in how research is conducted and how research partnerships and programmes are implemented.

Domain 3

Fair sharing of benefits, costs & outcomes

deals with improving fairness in sharing the costs, benefits, and outcomes of research.



→ 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 has the greatest impact on their own ability to learn, contribute, or participate, and 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 distribution 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 productively overcome the inevitable stresses that arise during a partnership.

Topic 1

Relevance to
communities in
which research
is done



Topic 1

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 the chances of translating important issues into sustainable solutions.
- * Collaborative research that does not align with local interests risks fragmenting to 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 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.

The intention for this topic is to clearly explain what collaborative research does or should do

to optimise 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 to 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

Attachments

- * Fondation Botnar Philanthropy Circle Theory of Change
- * Swiss Commission for Research Partnerships with Developing Countries (KFPE), A
- * Guide for Transboundary Research Partnerships – 11 Principles
- * Application Review Template
- * Strategy 2020-2022

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: Fondation Botnar aims at improving young people's wellbeing in urban environments in low- and middle-income countries (LMICs), with a particular focus on secondary cities in ten countries in Africa, Asia and Latin America (Fondation Botnar Philanthropy Circle Theory of Change (ToC)). Fondation Botnar forms a Philanthropy Committee composed of four members of the foundation's Board elected and appointed by the Board. The duties of the Philanthropy Committee include developing the grant-making strategy, together with the management office, for full Board approval. The Strategy 2020-2022 is based on five main areas of support termed "strategic objectives": (1) cities fit for children and young people; (2) artificial intelligence and digital transformation; (3) research for children and young people's wellbeing; (4) system enabler; and (5) entrepreneurship and innovative finance. Recently, Fondation Botnar adopted a relational

approach to wellbeing that is reflected in the new Philanthropy Circle Theory of Change (ToC) that builds on the Strategy 2020-2022 and contains six areas in which Fondation Botnar's support occurs: city systems, digital spaces, health systems, learning systems, market systems, and knowledge systems. These all contribute to the Sustainable Development Goals (SDGs). Currently, a Relational Wellbeing Guideline is being developed including guidance on relational working, which will serve as a reference for identifying investment priorities for all grant making. Within these five strategic objectives, research priorities arise predominantly from global discourses shared by entities such as the World Health Organization (WHO) and United Nations Children's Fund (UNICEF). Generally, Fondation Botnar supports the concept of fair partnerships based on the principles developed by the Swiss Commission for Research Partnerships with Developing Countries (KFPE), and A Guide for Transboundary Research Partnerships – 11 Principles. 2012), which emphasise the importance of setting the agenda together (P1), interacting with stakeholders (P2), and being accountable to beneficiaries (P4). In the case of implementation projects, the identification of priorities is mostly done by partners from LMICs. One example of this is the LEAP implementation project (<https://leapcluj.ro/>), which is an interdisciplinary study on 15 young people's needs and opportunities in Romania, building on an inclusive and participatory approach with, e.g., a youth federation and the local municipality. While day-to-day practice at Fondation Botnar is strongly geared towards supporting relevant research and interventions as defined in Topic 1, written guidance and policies are limited to the proposal review process and its related guiding documents.

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?

Answer: Yes, we have a formal (written) policy in place.

Notes: The application review process for all grant applicants follows the same streamlined review procedure outlined in the application review template. The procedure covers the relevance of the proposed objectives/research questions for the specific and/or national, regional, and global context. For some larger initiatives, such as the Mental Health Initiative, there is a work package that supports grants for conducting a landscape analysis to identify local priorities.

1.1.C

**Does your organisation plan to formalise these practices or make them explicit?
*mandatory if above answer is chosen.
The same applies to all answers with this structure across the questionnaire.**

Answer: Not applicable.

1.1 Research priorities in communities where research is being conducted

1.1.D

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

Answer: Not applicable.

1.1.E

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

Answer: On the whole, Fondation Botnar is satisfied with its current performance and practices pertaining to the issue of research priorities. However, a strategic learning and evaluation framework is currently under development and an external organisational evaluation is currently being implemented and will look at the following three broad questions

1. Is Fondation Botnar doing the right things?
 2. Is Fondation Botnar doing them in the right way?
 3. Is Fondation Botnar achieving the desired result?
- Point 2 in particular might reveal additional gaps and actions to be taken. This will be reported in the first update report to the RFI.

1.1.F

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

Answer: Medium – to be dealt with in the next 4 years.



1.2 Actions to be taken if there are no research priorities

1.2.A

Does your organisation 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: We don't have any policies or practices in place.

1.2.B

Does your organisation plan to formalise these practices or make them explicit?

Answer: Not applicable.

1.2.C

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

Answer: Not applicable.

1.2.D

What steps does your organisation 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 are supporting countries or regions in developing their research agenda as part of your engagement, please state that here and provide examples.

Answer: Fondation Botnar does not plan on taking any action in this regard, since the foundation is satisfied with its current performance and practices. Most projects are aligned with the local/regional or national research priorities and/or have been designed with or by its stakeholders. Supporting countries in establishing their research agenda is not currently one of the foundation's priority areas.

1.2.E

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

Answer: Low – to be dealt with in the next 6 years.

1.3 Justification for researching 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: We don't have any policies or practices in place.

1.3.B

Does your organisation plan to formalise these practices or make them explicit?

Answer: Not applicable.

1.3.C

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

Answer: Not applicable.

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: Fondation Botnar does not plan taking any action, since the foundation is satisfied with its current performance and practices. Most projects supported are aligned with the local/regional or national research priorities and/or have been designed with or by its stakeholders.

1.3.E

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

Answer: Low – to be dealt with in the next 6 years.

Topic 2

Early engagement of partners



Topic 2

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 the roles, responsibilities, and contributions of individuals and institutions involved.

In addition, it increases a sense of ownership and commitment resulting in increased performance and fewer disruptions.

Definitions

Partner engagement: An agreement made between all partners on 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 obtain them 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 accepted standards at this stage, but many countries, institutions, research funders and businesses use proprietary agreements.

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

Attachments

- * Application Template for Research Grants
- * Changemaker Strategy
- * Application Template for Implementation Grants
- * Application Template for Basic Grants
- * Midterm Evaluation Form
- * Annual Report 2019
- * Grant Agreement

2.1.A

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

Answer: The Strategy 2020-2022 states that „the commitment of the foundation is based on equal partnerships, in which goals are jointly defined and projects jointly implemented.“. However, as a funder, Fondation Botnar is not formally and consistently involved in ensuring the early engagement of partners. Fondation Botnar has a main applicant model, whereby the principle investigator (applicant) organisation is the one signing the Grant Agreement while the relationship between the applicant and all other partners (e.g., co-investigators, sub-contractors, stakeholders) is seen as the applicant's responsibility. Recently, Fondation Botnar adopted a new Philanthropy Circle Theory of Change (ToC) that aims at creating a collaborative environment between the applicant and its other partners that, in turn, should lead to a more consistent early involvement of all partners. It specifically states a commitment to

facilitating young people's participation, and it also describes the relational approach that Fondation Botnar takes to wellbeing.

One of the three main characteristics of this approach is relational working, which is evident in its commitment to be collaborative and active in the mission of cocreating change together with other actors, agencies, and young people themselves. The ToC will be incorporated across the work domains of Fondation Botnar, and examples of good practice exist, such as the Mental Health Initiative and the Afya-Tek implementation project. The Mental Health Initiative aims at having young people enjoy the highest attainable standard of mental health and wellbeing in cities and is being conducted in a participatory approach that incorporated 50 different stakeholders at the design stage. The Afya-Tek implementation project in Tanzania aims to integrate digital technologies into a new health initiative linking community health workers, health facilities, and private drug dispensaries to improve decision-making, quality of care, prompt access, and reduce unnecessary referrals (Annual Report). As a first step for this project, Fondation Botnar requested the applicant to establish a governance structure that would ensure that all partners abide by the basic partnership principles as outlined by KFPE. This method creates 25 the opportunity for the early engagement of all partners and sub-contractors without the need for investing extra resources. Finally, during interim evaluations, grantees are asked to reflect on the fairness of their research and what can be improved. This is done by including a few questions based on the RFI questionnaire in the evaluation framework. In terms of supporting actions, the Application Template also includes a question

asking applicants to list areas of knowledge/operational capacity in which Fondation Botnar could provide support by helping to increase capacity.

2.1.B

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

Answer: Yes, we have a formal (written) policy in place.

Notes: The interim evaluation of research projects (Midterm Evaluation Form) includes a question about how the project is aligned with the RFI and how research fairness can be optimised in future steps of the projects. Grantees are asked to focus on decision-making and responsibilities, capacity building, project ownership, and the distribution of costs and benefits.

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

2.1.C

Does your organisation plan to formalise these practices or make them explicit?

Answer: Not applicable.

2.1.D

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

Answer: Not applicable.

2.1.E

What steps does your organisation intend to take in the next one or two years to improve its policy and practice in regard to dealing fairly and productively with relationships in unequal partnerships?

Answer: Fondation Botnar commits to finalising the pilot scheme of incorporating additional key measures for assessing the operationalisation of the fairness principles in its grant making process, and then to using the lessons learned to inform future funding schemes. Key measures may include, for example, governance structure and quality; proof of approval of the application and the budget by all co-applicants; proof of alignment with KFPE partnership principles; and/or RFI certification status of the applicant institution. The foundation plans to adapt the Application Template accordingly (see also Topics 3, 4, 7, 15). In projects with a specific budget, Fondation Botnar will develop and implement, together with grantees, a programme and/or capacity building

strategy to meet identified deficiencies in technical capacity and resources (Changemaker Strategy). Going forward, the foundation will increasingly use a systematic approach to incorporate this component into larger grants.

2.1.F

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

Answer: Medium – to be dealt with in the next 4 years.



2.2 SOPs for supportive actions on behalf of partners

2.2.A

Does your organisation have an institutional policy or practice in place for identifying areas for the targeted development of partner capacities included in its research programmes?

Answer: Yes, we have a formal (written) policy in place.

Notes: The Application Template includes the following question: “Fondation Botnar would like to further support the strengthening of areas of knowledge and operational capacities for the project team in order to ensure the success of this project. In which areas of knowledge could Fondation Botnar provide support for your project team? Which operational capacities could Fondation Botnar help to strengthen alongside your project team?” (Application Template).

2.2.B

Does your organisation plan to formalise these practices or make them explicit?

Answer: Not applicable.

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: Not applicable.

2.2.D

Does your organisation plan to formalise these practices or make them explicit?

Answer: Not applicable.

2.2.E

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

Answer: Not applicable.

2.2.F

What steps does your organisation intend to take in the next one or two years to improve its policy and practice with regard to early engagement and inclusion of partners in decision making?

Answer: Fondation Botnar intends to apply the ToC and its collaborative aspect systematically across the working areas of Fondation Botnar. Additionally, in projects with a specific budget, Fondation Botnar will develop and implement, together with grantees, a programme and/or capacity building strategy to address the identified deficiency in technical capacity and resources (Changemaker Strategy). Going forward, the foundation will adopt a systematic approach to incorporate this component into larger grants.

2.2.G

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

Answer: High – to be dealt with in the next 2 years.

Topic 3



Making contributions
of partners explicit

Topic 3

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 for negotiating and concluding 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 can involve written agreements, MOUs or contracts, or any combination of the above.

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 registered organisations. These offices are much more able to ensure fairness for all stakeholders, countries, communities, and organisations and to maximise transparency (see later).

Ensure that there is access to such competence for all stakeholders.

3.1 Role clarification in research partnerships

Attachments

* Whistleblowing Guidelines

3.1.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: Given the applicant model that is used, Fondation Botnar perceives that it is the applicant's task to agree on roles and responsibilities within their project. There are several instances (during the application and when signing the Grant Agreement) where grantees need to give thought to this matter. Currently, the Application Template asks about partners' roles and responsibilities, and the Grant Agreement includes an Annex where the applicant must list all partners and stipulate their "deliverables/responsibilities". The Grant Agreement also requires that the applicant creates a partnership agreement that includes certain clauses. However, there is no template for this agreement, so it does not necessarily ensure a clear understanding of roles and responsibilities between partners and the applicant. Fondation Botnar feels there is room for improvement on its part concerning this topic, particularly when it comes to defining roles and responsibilities regarding authorship on publications, providing feedback to study populations, and planning follow-up actions.

3.1.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? Are there any guidelines about authorship on any publication resulting from this study?

Answer: We don't have any policies or practices in place.

3.1.C

Does your organisation plan to formalise these practices or make them explicit?

Answer: Not applicable.

3.1.D

Feedback to study population?

Answer: We don't have any policies or practices in place.

3.1.E

Does your organisation plan to formalise these practices or make them explicit?

Answer: Not applicable.

3.1.F

Follow-up Actions. [Are data ownership and intellectual property rights related to research projects dealt with separately later]?

Answer: We don't have any policies or practices in place.

3.1.G

Does your organisation plan to formalise these practices or make them explicit?

Answer: Not applicable.

3.1.H

Do you have SOPs for conflict resolution?

Answer: Yes, we have a formal (written) policy in place.
Notes: The Whistleblowing Guidelines "outline a procedure for stakeholders to report actions that a stakeholder reasonably believes violate a law or regulation or that constitute fraudulent accounting or other practices that do not comply with Fondation Botnar (the Foundation) regulations and directives. The guidelines apply to any matter related to the activities of Fondation Botnar and do not apply to matters related to private acts undertaken by an individual that are not connected to the foundation's business." Reporting can be done in three ways: by contacting the line/project manager, by contacting the COO or by using the hotline, web platform, or app-based whistleblowing system, anonymously or otherwise. Based on the

3.1 Role clarification in research partnerships

report, Fondation Botnar “will take appropriate action in response to any complaints, including disciplinary action (up to and including termination of employment or service) against any person or organisation who, in the foundation’s assessment, has engaged in unethical conduct or misconduct and, where appropriate, legal action will be taken.”

3.1.I

Does your organisation plan to formalise these practices or make them explicit?

Answer: Not applicable.

3.1.J

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

Answer: Not applicable.

3.1.K

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

Answer: Fondation Botnar commits to finalising the pilot scheme of incorporating additional key measures for assessing the operationalisation of the fairness principles in its grant making process, and then using the lessons learned to inform future funding schemes. Key measures may include, for example, governance structure and quality; proof of approval of the application and the budget by all co-applicants; proof of alignment with KFPE partnership principles; and/or RFI certification status of the applicant institution. The foundation plans to adapt the Application Template accordingly (see also Topics 2, 4, 7, 15).

3.1.L

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

Answer: Medium – to be dealt with in the next 4 years.



3.2 Making any potential beneficial impact explicit before starting research

3.2.A

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

Answer: Yes, we have a formal (written) policy in place.

Notes: There are three relevant documents for this question.

The Application Template makes the following requests for information: “Describe the expected immediate output and the intermediate outcome of your project. Describe how your project is going to improve young people’s well-being.” and “Describe the expected long-term (quantitative and qualitative) impact of your project on young people. Describe how your project is going to improve young people’s wellbeing.” It also includes the questions from the impact framework section.

In the Application Review Template, reviewers are asked “Do the objectives of this project lead to the relevant outcome and impact (e.g., in terms of numbers of beneficiaries, change in regulations, strengthening of local systems, etc.)?”

Clause 6.2 of the Grant Agreement states that “The Recipient shall publish the scientific results obtained in the Project, irrespective of whether they are positive or negative. Scientific results must be published in a peer reviewed journal. The journal should be open-access compliant whenever possible.”

3.2.B

Does your organisation plan to formalise these practices or make them explicit?

Answer: Not applicable.

3.2.C

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

Answer: Not applicable.

3.2.D

What steps does your organisation 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?

Answer: Fondation Botnar will update and implement its impact framework in the Application Template, requiring grantees to determine impact goals together with a timeline for the achievement of these goals and milestones.

Fondation Botnar also intends to produce a guidance document for grantees regarding the dissemination principles.

3.2.E

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

Answer: High – to be dealt with in the next 2 years.

Topic 4



Ensuring that matching and other co-financing mechanisms do not undermine opportunities for fair participation of all partners

Topic 4

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 despite the fact that the standard of living in one partner institution or country is substantially higher/lower than in another. As a result, equality in 'payments is not usually possible, which is often a major reason why partnership equality also suffers in other areas, such as decision-making in study design or focus.

Definitions

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

Fair, matching contributions

Specification of expected financial contributions that incorporates 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 measure that takes into account capacities to make financial contributions.

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 weighting.

There is no generally accepted standard to measure research specific weightings at this time.

4.1 Equal co-financing

4.1.A

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

Answer: Fondation Botnar incorporates co-financing as a principle in its co-funding grants as it believes that co-financed projects are more likely to succeed long-term and, thus, contribute to the foundation's goal of contributing to sustainable development. Concerning project applications without co-financing, there is a case-by-case assessment of their sustainability subject to several factors such as the partner, the setting, and the project itself. There is no standardised procedure for the decision on funding such projects. Fondation Botnar feels that this case-by-case approach allows it to remain open to a wide range of ideas and project types as well as for more tailored decision-making. Financial fairness within a project is assessed on the basis of a budget review, but there is a recognition that this could be improved, since staff encounter difficulties in supporting this process. Recognising that some partners come from more modest financial backgrounds, in-kind contributions by some partners are considered as compensation for a lack of monetary co-funding.

4.1.B

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

Answer: Yes, we currently have informal practices in place, but they aren't explicitly written down.

4.1.C

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

Answer: Yes.

4.1.D

Does your organisation plan to formalise these practices or make them explicit?

Answer: Yes.

4.1.E

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

Answer: Yes.

4.1.F

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

Answer: Yes.

4.1.G

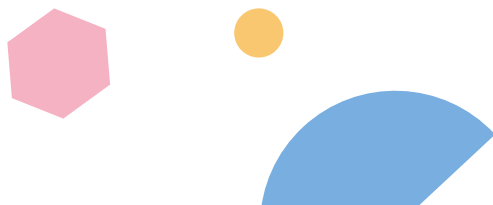
In particular, does your organisation consider the following issues: 'fair' or 'equitable' contributions in case of great differentials in purchasing power?

Answer: Not applicable.

4.1.H

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

Answer: Fondation Botnar does not involve itself in the partnership agreement with regard to matters concerning the applicants' partners (with the exception of providing a list of compulsory items). Additionally, Fondation Botnar encourages grants to cover costs, making full accommodation for an adjustment to local needs, such as having some flexibility with regard to overheads. In terms of differentials in currency strength (4.1.A.iv.), Fondation Botnar funds all applicants in a hard currency, i.e., a currency which is seen as economically reliable and strong. The underlying idea is to keep the applicant from having to bear any burdens resulting from currency risks themselves.



4.1 Equal co-financing

4.1.I

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 / can only contribute in unequal measure?

Answer: Fondation Botnar commits to finalising the pilot scheme of incorporating additional key measures for assessing the operationalisation of the fairness principles in its grant making process, and then to using the lessons learned to inform future funding schemes. Key measures may include, for example, governance structure and quality; proof of approval of the application and the budget by all co-applicants; proof of alignment with KFPE partnership principles; and/or RFI certification status of the applicant institution. The foundation plans to adapt the Application Template accordingly (see also Topics 2, 3, 7, 15).

4.1.J

Please indicate what priority level your institution assigns to indicator 4.1. for improvement.

Answer: Medium – to be dealt with in the next 4 years.

4.2 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: Yes, we currently have informal practices in place, but they aren't explicitly written down.

4.2.B

Does your organisation plan to formalise these practices or make them explicit?

Answer: No.

4.2.C

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

Answer: Yes.

4.2.D

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

Answer: Applicants are required to list all types of contributions in the budget and, in the case of in-kind contributions, value them themselves.

4.2.E

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

Answer: Fondation Botnar does not plan on taking any action since the foundation is satisfied with its current performance and practices.

4.2.F

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

Answer: Medium – to be dealt with in the next 4 years.

4.3 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., considering partners equal in spite of low or no financial or other contributions?

Answer: We don't have any policies or practices in place.

Notes: Such scenarios would be handled on a case-by-case basis.

4.3.B

Does your organisation plan to formalise these practices or make them explicit?

Answer: Not applicable.

4.3.C

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

Answer: Not applicable.

4.3.D

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

Answer: Fondation Botnar does not plan on taking any action in this regard since the foundation is satisfied with its current performance and practices. Most projects are aligned with the local/regional or national research priorities and/or have been designed with or by its stakeholders.

4.3.E

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

Answer: Low – to be dealt with in the next 6 years.



Topic 5



Recognition of unequal research management capacities between partners and providing for appropriate corrective measures

Topic 5

Why is 'recognition of unequal research management capacities between partners and providing appropriate corrective measures' a reporting topic?

Collaborations are key to research development. 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 the 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 the most efficient use of resources, while maximising impact. Research management is a complex field, and few, if any organisations, governments or businesses, have all competencies needed at least not have them in the same level of expertise.

NB. 'Research Management' is also used in a narrower sense: that of project management for 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: https://tdr.who.int/docs/librariesprovider10/essence/tdr-essence-1-14-participants-eng-pdf.pdf?sfvrsn=ca695050_8&download=true.

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

5.1 Research management capacity

Attachments

* Due Diligence Template

5.1.A

Please provide a narrative describing how your organisation determines the 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: Overall, Fondation Botnar does not see a comprehensive capacity assessment as its responsibility; generally, the foundation relies on the information provided by applicants and, at times, also conducts informal reviews of the applicants' previous work. However, there is, to a certain extent, an assessment of grantees' capacities during the due diligence process undertaken by checking the background/qualifications of the executive leadership of the organisation, as well as the most important successes of the organisation during the application procedures. Despite being the grantee's responsibility, the Due Diligence Template for the applicant also includes checking how they conduct due diligence with their partners. The Changemaker Strategy involves selecting young people that could be opinion leaders, decision makers, researchers, innovators, advocates, project/monitoring and evaluation managers; priority will be given to people engaging as agents of change, as individuals, or with their peers, at the household, community, city, national, or global level. Within the Changemaker Strategy, the Cross-Cutting Capacity Strengthening Platform aims at systematising,

formalising, and expanding previous efforts to increase capacity by providing a framework and structure within which such activities can be offered, tested, and scaled. This initiative is still in the pilot phase.

5.1.B

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

Answer: Yes, we have a formal (written) policy in place.

Notes: The Application Review Template asks reviewers "Do the proposed implementers/ Principal Investigator have sufficient experience, local knowledge, technical expertise, and human resources to successfully implement the project?". Reviewers are provided with this review form with guiding questions. Reviewers have access to the application and all attached documents, including annual financial statements. Concerning the selection of the reviewers (external reviewers with specific expert, subject-matter expertise), at least two Management Office members are included in the decision process. The foundation does not have rules regarding gender, but its guidelines do stipulate the inclusion of at least one local expert.

5.1.C

Does your organisation plan to formalise these practices or make them explicit?

Answer: Not applicable.

5.1.D

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

Answer: Yes.

5.1.E

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

Answer: Not applicable.

5.1 Research management capacity

5.1.F

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

Answer: Fondation Botnar plans to establish a Third-Party Risk Management System by mid-2022, which will allow a capacity assessment for certain types of project applications, particularly large ones. In projects with a specific budget, Fondation Botnar will develop and implement, together with grantees, a programme and/or capacity-building strategy to meet identified deficiencies in technical capacity and resources (Changemaker Strategy). Going forward, the foundation will increasingly use a systematic approach to incorporate this component into larger grants.

5.1.G

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

Answer: High – to be dealt with in the next 2 years.



5.2 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: Yes, we have a formal (written) policy in place.

Notes: The Application Review Template asks reviewers “Do the proposed implementers/ Principal Investigator have sufficient experience, local knowledge, technical expertise, and human resources to successfully implement the project?”

5.2.B _____

Does your organisation plan to formalise these practices or make them explicit?

Answer: Not applicable.

5.2.C _____

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

Answer: Yes.

5.2.D _____

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

Answer: Yes.

5.2.E _____

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

Answer: Not applicable.

5.2.F _____

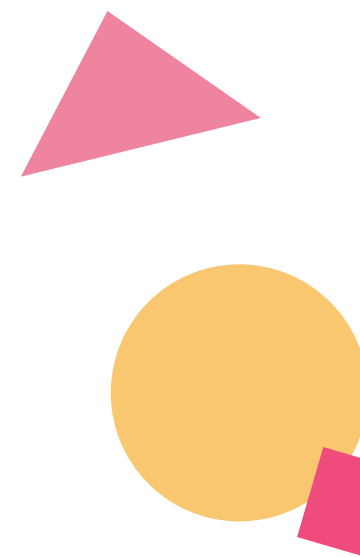
What steps does your organisation intend to take in the next one or two years to improve its policy and practice with regard to financial management assessment and taking of supportive actions as part of research collaborations?

Answer: Same as for 5.1.B.i.

5.2.G _____

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

Answer: High – to be dealt with in the next 2 years.



5.3 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: We don't have any policies or practices in place.

5.3.B _____

Does your organisation plan to formalise these practices or make them explicit?

Answer: Not applicable.

5.3.C _____

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

Answer: Not applicable.

5.3.D _____

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

Answer: Not applicable.

5.3.E _____

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

Answer: Fondation Botnar plans to establish a Third-Party Risk Management System by mid-2022, which will allow a capacity assessment for certain types of project applications, particularly large ones.

5.3.F _____

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

Answer: Medium – to be dealt with in the next 4 years.



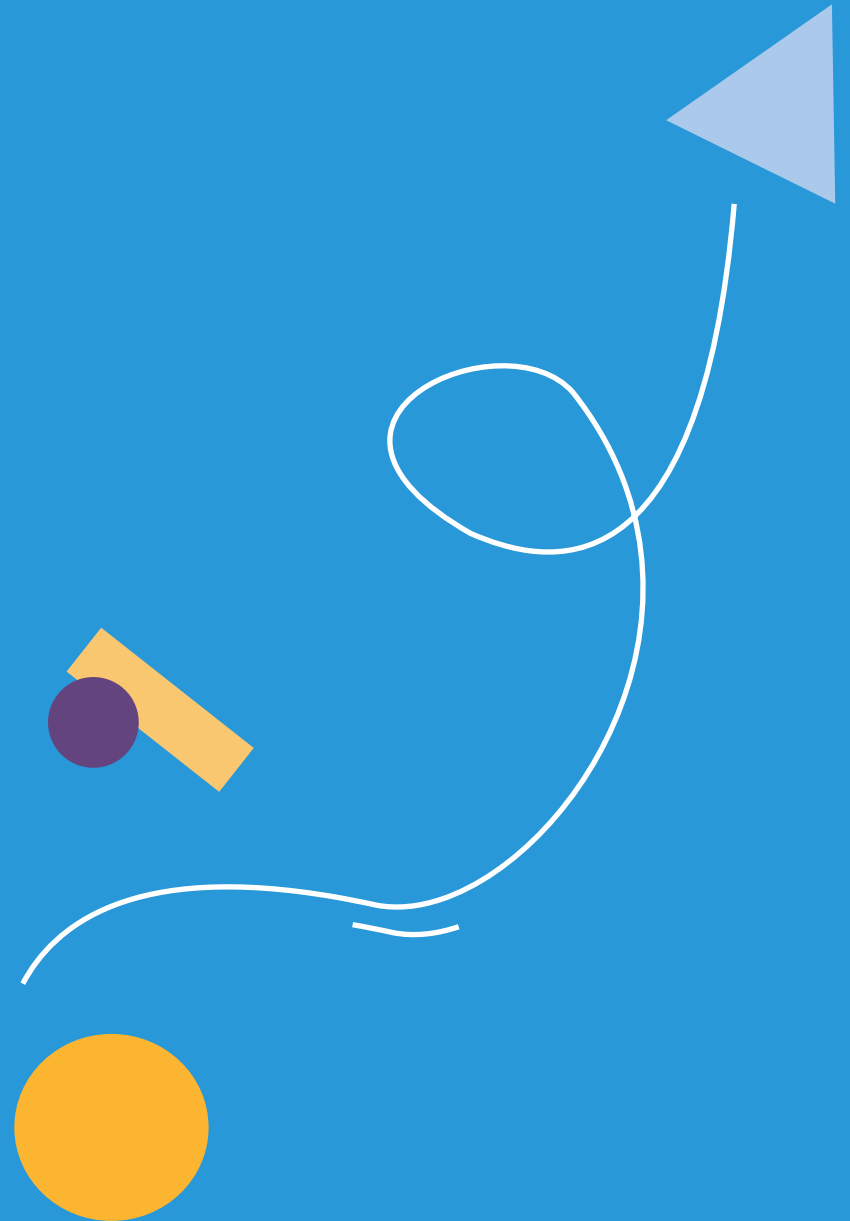


Domain 2

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 usually vary among partners, sometimes to a considerable extent. By creating clarity in how organisations deal with these challenges in principle and in practice, research stakeholders can reduce negative consequences of miscommunications or misunderstandings and can increase the capacity of all partners to live up to the expectations that others may have of them.



Topic 6



Minimising negative impact of
research programmes on systems

Topic 6

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 any potential negative impacts 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-deficient 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' for 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.

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

6.1 Assessing potential or actual harm of research

Attachments

* Code of Conduct

6.1.A

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

Answer: Fondation Botnar's Code of Conduct states "We consider sustainable development by taking a balanced account of social, ecological and economic interests". In this context, it is in the foundation's interest that its projects do not disrupt national systems, as also mentioned in the Code of Conduct. In fact, although this is not yet always the case, as stated in the Funding Policy, there is a tendency towards funding locally driven projects, and given that local implementers are particularly knowledgeable about the local system the likelihood of avoiding disruptions increases. However, Fondation Botnar feels that there is scope for a more systemic identification of the potential negative impacts of funded projects.

In terms of risk mitigation, both the Application Template and the Application Review Template have a risk and mitigation section concerning potential negative situations that the project may face and how the applicant anticipates resolving them.

However, these risks and mitigation measures are concerned with the project alone and do not cover systems-related and environmental aspects of the proposed study location.

6.1.B

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

Answer: We don't have any policies or practices in place.

6.1.C

Does your organisation plan to formalise these practices or make them explicit?

Answer: Not applicable.

6.1.D

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

Answer: Not applicable.

6.1.E

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

Answer: Not applicable.

6.1.F

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

Answer: The Application Template and the Application Review Template currently contain a risk and mitigation assessment that refers to risks threatening the project. Fondation Botnar intends to add a complementary part of this assessment covering risks on an environmental and systems level (e.g., participating populations, strains on local infrastructure and services) that may arise from the proposed project (see also Topic 14).

6.1.G

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

Answer: Medium – to be dealt with in the next 4 years.

6.2 Reducing any potential 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 rapidly implement preventive measures?

Answer: We don't have any policies or practices in place.

6.2.B

Does your organisation plan to formalise these practices or make them explicit?

Answer: Not applicable.

6.2.C

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

Answer: Not applicable.

6.2.D

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

Answer: Same as mentioned in 6.1.B.i.

6.2.E

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

Answer: Medium – to be dealt with in the next 4 years.



6.3 Compensation for unintended (negative) consequences of research

6.3.A

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

Answer: Yes we have a formal (written) policy in place.

Notes: The Grant Agreement states “No Liability of the Foundation: The Foundation shall not be liable for any loss or damages arising in any way out of or in connection with this Project or its execution.” However, the Grant Agreement signed by applicants clearly states that the project requires local ethical approval, and that the applicants need to comply with the foundation’s Code of Conduct (includes the Child Protection Guidelines, among others). Additionally, applicants are required to identify potential risks and corresponding mitigation measures which are reviewed using the Application Review Template.

6.3.B

Does your organisation plan to formalise these practices or make them explicit?

Answer: Not applicable.

6.3.C

Does your organisation involve all partners in this?

Answer: Not applicable.

6.3.D

Does your organisation plan to formalise these practices or make them explicit?

Answer: Not applicable.

6.3.E

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

Answer: Not applicable.

6.3.F

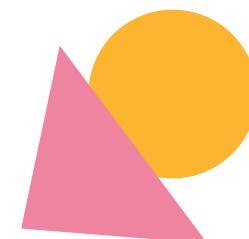
What steps does your organisation intend to take in the next one or two years to improve its policy and practice with regard to preventing the negative impact, if any, of research collaborations – especially in low-income countries and populations?

Answer: Fondation Botnar does not plan to change its position on this matter.

6.3.G

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

Answer: Low – to be dealt with in the next 6 years.



Topic 7



Fair local hiring,
training and sourcing

Topic 7

Why is 'fair local hiring, training and sourcing' a reporting topic?

The 'business of research' is a key benefit of engaging in research beyond primary knowledge generation or product/service development. Salaries for consultants, the purchase of consumables, and hiring external support services can multiply the health and economic impact of research and innovation for partners well beyond direct research equipment, facilities, and salaries that have been 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 regarding what can be (reasonably) sourced locally or regionally, including expertise, networks, and business. A plan to maximise 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/>

7.1 Local staffing and sourcing of consumables and services

Attachments

- * Cross-Cutting Capacity-Strengthening Platform Concept Note
- * Budget and Expenditures Template

7.1.A

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

Answer: Hiring and training project staff as well as sourcing consumables are seen as operational issues that are largely the responsibility of the applicant. However, project budgets are being critically reviewed by Fondation Botnar as part of the standard application review. Applicants are given formal guidance in the Budget and Expenditures Template that the amounts budgeted for activities/items should be adequate for the context in which activities will take place and that salaries, per diems, etc. should be based on the existing internal rules and regulations of the organisation. However, Fondation Botnar feels there is scope for improvement on this topic, particularly when it comes to confirming that all partners involved in a project have reviewed and approved the budget. Fondation Botnar has recently been advancing the Cross-Cutting Capacity Strengthening Platform that will allow for grantees and partners to receive training. Additionally, in some cases, the foundation works with intermediaries, e.g., NGOs or other international organisations that support a given project with technical assistance, scaling, and also capacity-strengthening.

7.1.B

Does your organisation plan to formalise these practices or make them explicit?

Answer: No.

7.1.C

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

Answer: Fondation Botnar reviews the budget, more as a plausibility check, and may ask questions concerning certain budget items. The Budget and Expenditures Template states that the amounts budgeted for activities/items should be adequate for the context in which activities will take place and that salaries, per diems, etc. should be based on the existing internal rules and regulations of the organisation.

7.1.D

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

Answer: Fondation Botnar commits to finalising the pilot scheme of incorporating additional key measures to assess the operationalisation of the fairness principles in their grant making process, and then to using the lessons learned to inform future funding schemes. Key measures may include, for example, governance structure and quality; proof of approval of the application and the budget by all co-applicants; proof of alignment

with KFPE partnership principles; and/or RFI certification status of the applicant institution. The foundation plans to adapt the Application Template accordingly (see also Topics 2, 3, 4, 15).

7.1.E

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

Answer: Medium – to be dealt with in the next 4 years.

7.2 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 the ability to produce quality products and services locally, when there is lack of availability of local expert staff, or an inability to produce consumables or services of sufficient quality to satisfy research standards requirements?

Answer: Yes, we have a formal (written) policy in place.

Notes: The Cross-Cutting Capacity-Strengthening Platform is currently in the pilot phase and some workshops (e.g., digital principles, child rights, and monitoring & evaluation) have already taken place. These initiatives can contribute to increasing local staff capacities and, consequently, increasing the quality of local products and services. Concerning hiring and remuneration of local staff, we have a formal written policy in place; Fondation Botnar reviews the budget, more as a plausibility check, and may ask questions concerning certain budget items. The Budget and Expenditures Template states that the amounts budgeted for activities/items should be adequate for the context in which activities will take place and that salaries, per diems, etc. should be based on the existing internal rules and regulations of the organisation.

7.2.B

Does your organisation plan to formalise these practices or make them explicit?

Answer: Not applicable.

7.2.C

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

Answer: Not applicable.

7.2.D

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

Answer: Fondation Botnar intends to produce a guidance document for applicants regarding the sourcing of products. In addition, in projects with a certain budget, Fondation Botnar will develop and implement, together with grantees, a program and/or capacity-building strategy to address identified deficiencies in technical capacity and resources (Changemaker Strategy). Going forward, the foundation will increasingly use a systematic approach to incorporate this component into larger grants.

7.1.E

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

Answer: Medium – to be dealt with in the next 4 years.

Topic 8



Respect for authority
of local ethics
review systems

Topic 8

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, and benefit sharing at individual, community, and, sometimes, institutional and national levels.

Lack of expertise results in one-sided reviews that often may often not optimise the 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-sourcedocuments-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 the guidelines (one or more) that are the foundation for your organisation's policies and practices in ethics review of research collaborations.

8.1 Research ethics approval

Attachments

* Funding Principles and Conditions

8.1.A

Please provide a narrative describing how your organisation takes steps to make sure local ethics review systems are respected and supported.

Answer: Fondation Botnar's Code of Conduct clearly states that it "adheres to the general legal principles of Swiss law and, where applicable, local laws", which necessarily includes requiring approval from local ethics review systems. The Application Template requests a description of the ethical approval process required for the project. Additionally, by signing the Grant Agreement, grantees agree to conduct the project in compliance with all legal and ethical international, national, and local standards and to obtain all necessary approvals, consents, and reviews. However, currently, there is no systematic confirmation on the part of the foundation that the necessary approvals have actually been obtained; it is assumed that grantees comply with the Grant Agreement and that ethics committees have the capacity to review the projects in an ethical manner.

8.1.B

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

Answer: Yes, we have a formal (written) policy in place.

Notes: The Funding Principles and Conditions state "Legal Compliance: The recipient will conduct, control,

manage, and monitor the project in compliance with all applicable ethical, legal, regulatory, and safety requirements, including applicable international, national, local, and institutional standards ("Requirements"). The recipient will obtain and maintain all necessary approvals, consents, and reviews before conducting the applicable activity. As a part of the recipient's progress and final reporting to the foundation, the recipient must report whether the project activities were conducted in compliance with all Requirements." This is also referred to in the Application Template and the Grant Agreement.

8.1.C

Does your organisation plan to formalise these practices or make them explicit?

Answer: Not applicable.

8.1.D

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

Answer: Yes.

8.1.E

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

Answer: Yes .

8.1.F

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

Answer: Not applicable.

8.1.G

What steps does your organisation intend to take in the next one or two years to improve its policy and practice related with regard to increasing respect for local ethics reviews of research in which your organisation is a partner?

Answer: Fondation Botnar will do a careful check of all ethical clearance letters at appropriate time points, depending on the nature of the project. Random auditing of projects will also be initiated. Fondation Botnar will also formalise in writing that projects need to be granted ethical approval by REC/IRBs from the country (or countries) where the project will take place. Fondation Botnar will include a statement about the Declaration of Helsinki in the Code of Conduct.

8.1.H

Please indicate what priority level your institution assigns to indicator 8.1. for improvement as a partner.

Answer: Medium – to be dealt with in the next 4 years.

8.2 Supporting local research ethics review capacity

8.2.A

Does your organisation have institutional policies or practices in place to support REC/IRB capacity to conduct high-quality ethics reviews efficiently, such as the use of digital platforms, or access to REC/IRB administrative support online?

Answer: We don't have any policies or practices in place.

8.2.B

Does your organisation plan to formalise these practices or make them explicit?

Answer: Not applicable.

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: Not applicable.

8.2.D

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

Answer: Not applicable.

8.2.E

What steps does your organisation intend to take in the next one or two years to improve its policy and practice with regard to increasing respect for local ethics reviews of research in which your organisation is a partner?

Answer: Fondation Botnar does not plan on taking any action in this regard since it is satisfied with its current performance and practices.

8.2.F

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

Answer: Medium – to be dealt with in the next 4 years.



Topic 9



Data ownership, storage,
access and use

Topic 9

Why is 'data ownership, storage, access and use' a reporting topic?

Provisions for sharing ownership of data, data storage, access to data and other collected information, and use of this information can influence the benefits individuals, institutions and countries may derive from research and can reduce the research's positive impact on global health.

Often, conditions are written in a way that is preferential to research sponsors or high-income country institutions, or, in general, to organisations that have access to expert legal support.

In addition, there is often national legislation dealing with these issues – but this may still be lacking in many low and middle-income countries. Even well-intended requirements to 'share raw data' may put some partners at a disadvantage simply because the time period before sharing is too short to complete analyses.

This may result in loss of opportunity to publish or, worse, in loss of intellectual property rights.

Existing solution(s)

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

9.1 Data Ownership and Accessibility Agreements

Attachments

- * Data Protection Guidelines
- * Global Access Approach

9.1.A

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

Answer: Fondation Botnar asks that findings obtained from research conducted with its funds would be broadly disseminated and broadly benefit children and young people. For the foundation, Global Access is non-negotiable as it intends to fund projects with a sustainable potential, which will benefit people's health and wellbeing, particularly in LMICs. Therefore, the foundation requires grantees to ensure that the knowledge and information gained from a project are promptly and broadly disseminated and that project outcomes are made available and accessible free of charge or – if required for sustainability – at an affordable price to people most in need within LMICs. The main tool for this is the Global Access Approach. The Grant Agreement includes a clause on the Global Access Approach where the recipient commits to, at least 6 months prior to the end of the project, submit their Global Access Approach strategy along with at least one identified partner to further develop the funded project outcomes, a funding strategy, and an implementation plan. This clause requires grantees to include strategies to secure, manage, and allocate intellectual property rights associated with the project outcomes or background technology in a way that ensures global access while providing incentives

for future potential private sector participation. Fondation Botnar is aware that currently there is not sufficient guidance for grantees on how to apply the Global Access Approach. Fondation Botnar also feels that in the future it will be important to follow-up on the implementation of the strategy to check whether grantees have complied with the agreement. In terms of data ownership, the Data Protection Guidelines that are available on the foundation's website state that all data generated within a funded project is exclusive property of the applicant together with all third parties involved. According to these guidelines, data can be shared but individual data should, whenever possible, be shared in an anonymous format. Finally, Fondation Botnar is not involved in material transfer agreements and, hence, has no policy or practice concerning this matter.

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: Yes, we have a formal (written) policy in place.

Notes: The Grant Agreement states that "The recipient respectively its employees being authors of scientific publications as referred to in this article shall remain the sole owner of the copyright thereon. Following the publication of the scientific results in accordance with this clause, the foundation may communicate

the research results, re-publish, and re-distribute the recipient's publications at its own discretion." Also, the Data Protection Guidelines state: "Any database created in the context of a project funded by the foundation shall be exclusive property of the Grantee and any collaborating third party directly involved in the collection of said data."

9.1.C

Does your organisation plan to formalise these practices or make them explicit?

Answer: Not applicable.

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: Not applicable.

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: No.

9.1 Data ownership and accessibility agreements

9.1.F

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

Answer: Not applicable.

Notes: Not applicable.

9.1.G

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

Answer: Fondation Botnar may start to evaluate whether grantees have applied their Global Access Approach in progress reporting. Additionally, Fondation Botnar plans to offer a training module on data ownership, storage, access and use to its grantees via the Cross-Cutting Capacity-Strengthening Platform.

9.1.H

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

Answer: Medium – to be dealt with in the next 4 years.

9.2 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: We don't have any policies or practices in place.

9.2.B

Does your organisation plan to formalise these practices or make them explicit?

Answer: Not applicable.

9.2.C

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

Answer: Not applicable.

9.2.D

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

Answer: Not applicable.

9.2.E

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

Answer: Not applicable, since Fondation Botnar is not involved in material transfer agreements.

9.2.F

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

Answer: Low – to be dealt with in the next 6 years.

Notes: None of the above.

Topic 10



Encouraging full cost recovery
budgeting and compensation

Topic 10

Why is “encouraging full cost recovery budgeting and compensation’ a reporting topic?

Inadequate provision for overhead costs results in chronically underfunded research institutions that have no budgets for staff development, establishment of communication offices, subscriptions to professional literature, hiring contracting and negotiating expertises, purchase of IT research or ethics management systems, financial management systems, high-level reporting, and so much more that is decisive for the quality and output of a 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 incurred by delivering research output are covered in financial agreements made as part of research partnership and not just ‘direct’ costs or other selective costs like consumables, equipment, or facilities. All costs comprise administration, research management, communication, infrastructure upkeep, transport, and more; in short, all costs necessary to ensure that research can be done to a high standard 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 for engaging in joint budgeting for all reasonable overhead costs, not simply stipulating 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 basic funding.

10.1 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: Fondation Botnar has stipulated a 10% ceiling for overheads, calculated on the total project budget, as described in the Budget and Expenditures Template. However, there is some flexibility in this percentage vis-à-vis grantees, e.g., if the applicant institution's overhead policy sets the rate above 10% this can be honoured. These situations are dealt with on a case-by-case basis. Generally, the foundation is strongly in favour of ensuring full cost recovery. However, it was recognised that applicants could benefit from receiving a definition of overheads, which would be of particular value for applicants who are uncertain about what type of items belong under overheads and could, in turn, reduce the challenge of incomplete recovery budgeting. Finally, it is worth highlighting that, currently, the distribution of the overheads between the applicant and its partners is not stipulated or assessed. Fondation Botnar requires the recipient organisation to submit annual financial statements and financial audits by an independent external auditor of the applicant organisation. Additionally, the funded project needs to provide financial progress reports.

10.1.B

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

Answer: Yes, we have a formal (written) policy in place.

Notes: Applicants receive the Budget and Expenditures Template with instructions for completion.

10.1.C

Does your organisation plan to formalise these practices or make them explicit?

Answer: Not applicable.

10.1.D

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

Answer: Not applicable.

10.1.E

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

Answer: As a first step, Fondation Botnar intends to encourage grantees to explain the overhead allowance more explicitly in the Application Template (that way they have budgeted for capacity building internally and admin functions including the budget).

10.1.F

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

Answer: Medium – to be dealt with in the next 4 years.

10.2 Improving/standardising budgeting

10.2.A

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

Answer: Yes, we have a formal (written) policy in place.

Notes: Fondation Botnar provides the Budget and Expenditures Template that should be used by applicants for the submission.

10.2.B

Does your organisation plan to formalise these practices or make them explicit?

Answer: Not applicable.

10.2.C

Does your organisation prescribe or recommend international research budgeting guidelines?

Answer: No.

10.2.D

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

Answer: No.

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: Yes, we currently have informal practices in place but they aren't explicitly written down.

10.2.F

Does your organisation plan to formalise these practices or make them explicit?

Answer: Not applicable.

10.2.G

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

Answer: Applicants are required to work on the basis of internationally (or at least nationally) accepted accounting standards and conduct an annual financial audit. The Grant Agreement states that the applicant “will maintain complete and accurate accounting records and copies of any reports submitted to the foundation relating to the project and will retain such records and reports for 4 years after the term for the purpose of this Agreement. At the foundation's request, the recipient will make such records and reports available to enable the foundation to monitor and evaluate how grant funds have been used” and that “the recipient undertakes

to send its annual financial statement, including audit report by an independent external auditor, to the foundation within 30 days of such statement being certified by the independent external auditor”.

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 standardisation of research budgeting for all partners in research collaborations?

Answer: Same as 10.1.B.i.

10.2.I

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

Answer: Medium – to be dealt with in the next 4 years.



→ Domain 3

Fair sharing of benefits, costs & outcomes

Domain 3 deals with improving fairness in sharing the costs, benefits, and outcomes of research. In particular, this component of the RFI focuses on short-term costs, benefits, and outcomes of individual studies as well as 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 the benefits of both technical and social innovations accruing to all stakeholders in the partnership.

Topic 11

Research
system
capacities



Topic 11

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 to obtain 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 the 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 capacities is an essential aspect.

Definitions

Research (and innovation) system: the sum 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 in order to attract the best personnel, external investments, and research partnerships.

Existing solution(s)

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

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

11.1 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 also geared towards improving your own capacity.

Answer: Fondation Botnar aims to accomplish impactful, transformative and lasting change, which means empowering key drivers and agents of change. The foundation has several approaches to investing in young people. The first example is the new Changemaker Strategy where selected individuals are provided with the resources, social skills, and technical skills to maximise their potential to bring positive change into their communities, city, country, or the wider world. The Changemaker Strategy includes the Cross-Cutting Capacity Strengthening Platform, which is envisioned as a digital platform “that brings together content providers and digital interactivity to provide up-skilling, knowledge sharing, and coaching opportunities” to its global and diverse grantee network. Second, Fondation Botnar supports young researchers through academic fellowships, such as the early post-doc EDCTP grants, and the Marie Curie Swiss School of Public Health PhD grants. Finally, Fondation Botnar strives to fund projects that include partners/universities in LMICs (i.e., to have local partners either as main applicants or co-investigators/implementation partners), which directly and/or indirectly leads to an improvement of their research capacities; one example is the LEAP project (<https://leapcluj.ro/>) in Romania (see also Topic 1). Fondation Botnar believes that fostering change at the structural and process level is needed to achieve

a long-lasting societal impact, as stated in the new Philanthropy Circle ToC. Fostering the types of change that can truly generate sustained improvements take time, but Fondation Botnar is willing to take a longterm view. However, Fondation Botnar feels that, currently, most research grants still only ensure short or medium-term funding. It also believes that this issue needs extra attention and that long-term funding predictability could be guaranteed better.

Finally, the Application Template also includes a question asking applicants to list areas of knowledge/operational capacity in which Fondation Botnar could provide support.

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: Yes, we have a formal (written) policy in place.

Notes: According to the Changemaker Strategy, Fondation Botnar should “develop and implement a programme and/or capacity building strategy to address identified technical capacity and resource deficiencies with strategic objectives. This would be undertaken by strategic objective leads in collaboration with grantees for grants above CHF 1 million. Strategic objective leads can contract partners to develop and implement the programme/capacity-building strategy, while the social and leadership skills training will be covered by a foundation-wide approach.”

11.1.C

Does your organisation plan to formalise these practices or make them explicit?

Answer: Not applicable.

11.1.D

Does your organisation have criteria to determine these priorities?

Answer: Yes.

11.1.E

Does your organisation specify requirements or budget allocations for training?

Answer: Yes.

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: Yes.

11.1 Training

11.1.G

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

Answer: Not applicable.

Notes: Not applicable.

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: Fondation Botnar will complete the pilot phase of the Changemaker Strategy and scale it up by increasing the number of people with access to this strategy. In projects with a specific budget, this strategy plans for the development and implementation of a programme and/or capacity building strategy together with grantees, in order to address identified deficiencies in technical capacity and resources. The systematic approach to imbed this component in these larger grants will start being reinforced.

11.1.I

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

Answer: Medium – to be dealt with in the next 4 years.

11.2 Increase (predictable) funding

11.2.A

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

Answer: Yes, we have a formal (written) policy in place.

Notes: Training provided through the Cross-Cutting Capacity-Strengthening Platform may cover project and grant offices and business development.

11.2.B

Does your organisation plan to formalise these practices or make them explicit?

Answer: Not applicable.

11.2.C

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

Answer: Not applicable.

11.2.D

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

Answer: Fondation Botnar intends to introduce the possibility for ongoing/spontaneous applications for its “Basic Grants”. In the long-term, the foundation is striving toward greater predictability for its whole portfolio of instruments. Fondation Botnar therefore commits to take up discussions on defining a funding period (annual, biannual, every four years, etc.) and a corresponding portfolio of instruments that will allow it to announce the entire portfolio at the start of each funding period.

11.2.E

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

Answer: High – to be dealt with in the next 2 years.

Topic 12



Intellectual property rights and tech transfer

Topic 12

Why is 'intellectual property rights and tech transfer' a reporting topic?

Unfair provisions on sharing intellectual property rights will have a negative effect on the individuals, institutions, and countries that have participated or invested in the research, 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.

12.1 Technology transfer

12.1.A

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

Answer: The Grant Agreement has a clause on duties related to intellectual property, where grantees commit to ensuring that they and their partners will (i) provide global access to their results; (ii) the protection of intellectual property rights as necessary to enable sustainability and utilisation of the project's outcomes for global access.

The grant recipient is also required to submit intellectual property reports throughout the project and for four years following project termination. However, very few details are given on how grantees can proceed to protect intellectual properties.

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: Yes, we have a formal (written) policy in place.

Notes: According to the Grant Agreement, grant recipients must create a Global Access Approach that should address “agreements and/or procedures for transfers of materials and data among Project collaborators or third parties relevant to the Project”.

12.1.C

Does your organisation plan to formalise these practices or make them explicit?

Answer: Not applicable.

12.1.D

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

Answer: Not applicable.

12.1.E

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

Answer: Fondation Botnar does not plan to take any steps in this regard.

12.1.F

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

Answer: Medium – to be dealt with in the next 4 years.

12.2 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: Yes, we have a formal (written) policy in place.

Notes: The Global Access Approach covers this issue.

12.2.B

Does your organisation plan to formalise these practices or make them explicit?

Answer: Not applicable.

12.2.C

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

Answer: Not applicable.

12.2.D

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

Answer: Fondation Botnar does not plan to take any steps in this regard.

12.2.E

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

Answer: Medium – to be dealt with in the next 4 years.



12.3 Contracting support for IPR

12.3.A

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

Answer: We don't have any policies or practices in place.

12.3.B

Does your organisation plan to formalise these practices or make them explicit?

Answer: Not applicable.

12.3.C

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

Answer: Not applicable.

12.3.D

What steps does your organisation intend to take in the next one or two years to improve its policy and practice with regard to supporting partners or requiring support from partners to better negotiate IPRs in research collaborations?

Answer: Fondation Botnar does not plan on taking any action in this regard.

12.3.E

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

Answer: Medium – to be dealt with in the next 4 years.

Topic 13

Innovation system capacities



Topic 13

Why is 'innovation system capacities' a reporting topic?

For the 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 primary knowledge generation or product/service development and beyond a direct impact on the health of a population.

Existing solution(s)

- * **Create** specific commercialisation 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.

13.1 Ensuring socio-economic benefits for local communities

13.1.A

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

Answer: Being a foundation, Fondation Botnar is able and committed to supporting innovative and, at times, high-risk projects, as illustrated in the ToC. Part of the reason why Fondation Botnar funds research projects with a focus on cities is the concentration of young people and the capacity for innovation. Thus, innovation is a core concept in the foundation's strategy to create significant impact in children and young people's lives. One good example of how this is applied in practice is the Ifakara Innovation Hub in Tanzania that bridges research, academic institutions, and the community with the mission of contributing to the development of entrepreneurship and a sustainable ecosystem in Tanzania by helping scientists, entrepreneurs, and innovators to grow and bring their ideas to the market, through resources and capacity-building (<https://www.ifakarahub.com/about-us>). Furthermore, in the Application Template, applicants are asked about the innovative aspects of their project as well as its potential in terms of scaling up and replicability in other settings. In the global access Approach that every applicant needs to provide up to 6 months prior the end of the project, grantees are requested to include anticipated development, commercialisation, and sustainability strategies during and after the project to ensure that global access can

be provided. However, there are no detailed guidelines on how future spin-off economic activities resulting from the projects will be shared with all partners, and this is left to the discretion of the grantees. Also, there is a need for creating a systematic pathway to stimulate and facilitate discussion on innovation following research.

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: Yes we have a formal (written) policy in place.

Notes: The Grant Agreement states that the Global Access Approach provided by grantees should include "anticipated development, commercialisation, and sustainability strategies during and after the Project to ensure that Global Access can be met".

13.1.C

Does your organisation plan to formalise these practices or make them explicit?

Answer: Not applicable.

13.1.D

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

Answer: Not applicable.

13.1.E

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

Answer: Fondation Botnar does not plan on taking any action in this regard.

13.1.F

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

Answer: Medium – to be dealt with in the next 4 years.

13.2 Support innovation culture

13.2.A

Financial support for innovation?

Answer: We don't have any policies or practices in place.

Notes: Fondation Botnar does not commit to providing funding beyond the end of the project, but this can be discussed on a case-by-case basis.

13.2.B

Does your organisation plan to formalise these practices or make them explicit?

Answer: Not applicable.

13.2.C

Does your organisation offer non-financial support for innovation – e.g stimulating and facilitating discussion on innovation following research?

Answer: Yes we currently have informal practices in place but they aren't explicitly written down.

13.2.D

Does your organisation plan to formalise these practices or make them explicit?

Answer: Not applicable.

13.2.E

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

Answer: The midterm evaluation process involves discussing with grantees the next steps of the projects and aims at generating awareness towards the aspects required to move a solution along the pathway towards real impact.

13.2.F

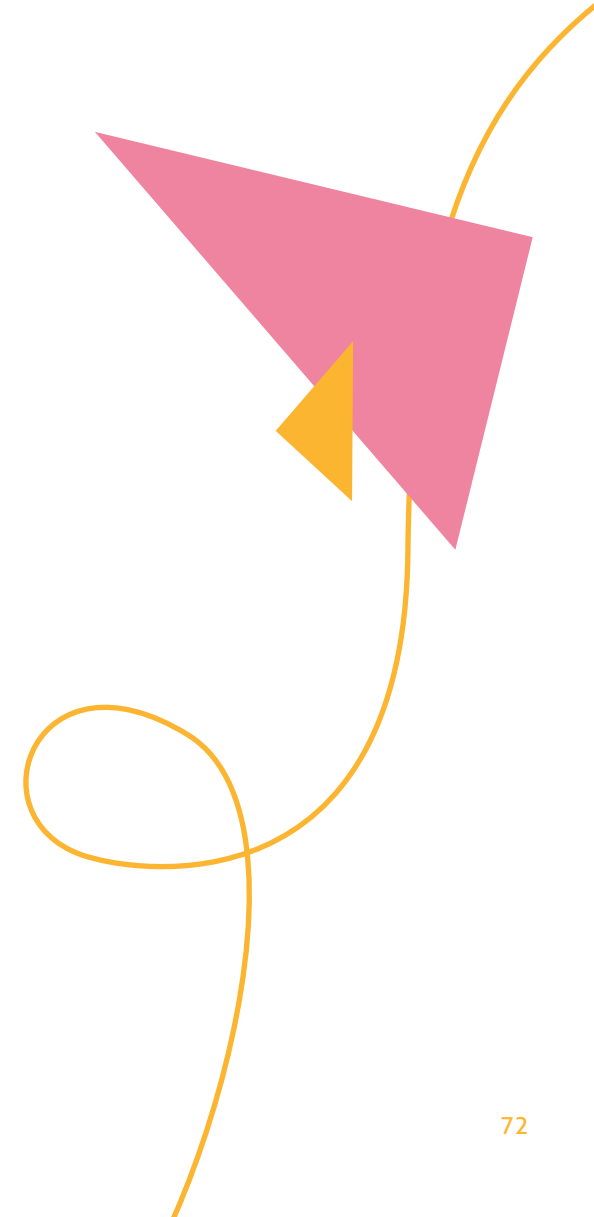
What steps does your organisation intend to take in the next one or two years to improve its practice regarding advocacy and stimulation of a culture of innovation?

Answer: Fondation Botnar will update and implement its impact framework in the Application Template, requiring grantees to determine impact goals together with a timeline for the achievement of these goals and milestones. Fondation Botnar also intends to produce a guidance document for grantees regarding the dissemination principles (especially publications).

13.2.F

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

Answer: High – to be dealt with in the next 2 years.



Topic 14



Due diligence

Topic 14

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 for institutions or countries.

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

Existing solution(s)

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

14.1 Achieving international development goals

14.1.A

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

Answer: As a foundation that aims at improving the health and wellbeing of children and young people, all five strategic objectives of the foundation (Strategy 2020-2022) are, in one way or another, aligned with the Sustainable Development Goals (SDGs); yet, this alignment is not formally mentioned in most key documents guiding the foundation. However, the new Philanthropy Circle ToC, which describes key changes the foundation wants to achieve in order to improve young people's wellbeing, identifies the SDGs implicated in each key change. Also, for some partners, especially UN-Agencies (e.g., UN-Habitat) the reference to the SDGs involved is standard procedure. Finally, applicants for Fondation Botnar grants need to identify which SDGs their project is aligned with during the application process (Application Template).

As described in the Code of Conduct, Fondation Botnar "commits to respecting, promoting, upholding, and protecting the rights of children always, as set out in the UN Convention on the Rights of the Child, the Paris Declaration on Aid Effectiveness, as well as the Child Protection Policy of Fondation Botnar".

Concerning equity and equality, the foundation's Code of Conduct states "We work inclusively and do not tolerate any form of discrimination." In this context, Fondation Botnar funds projects dedicated to girls and young women, such as the Women Deliver "Young Leaders" program that aims to empower youth advocates (<https://womendeliver.org/youth/young-leaders-program/>).

14.1.B

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

Answer: Yes, we have a formal (written) policy in place.

Notes: The Application Template includes the following question: "Is the project connected to global challenges or initiatives such as e.g., the Sustainable Development Goals (SDGs)?" Also, the new Philanthropy Circle ToC mentions which of the SDGs are covered by which key changes Fondation Botnar is striving toward.

14.1.C

Does your organisation plan to formalise these practices or make them explicit?

Answer: Not applicable.

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: Yes.

14.1.E

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

Answer: Not applicable.

Notes: Not applicable.

14.1.F

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

Answer: Fondation Botnar does not plan on taking any action in this regard.

14.1.G

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

Answer: Medium – to be dealt with in the next 4 years.

14.2 Negative environmental impact

14.2.A

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

Answer: We don't have any policies or practices in place.

14.2.B

Does your organisation plan to formalise these practices or make them explicit?

Answer: Not applicable.

14.2.C

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

Answer: Not applicable.

14.2.D

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

Answer: Fondation Botnar will assess in what fields to develop an action plan for environmental questions. The initial assessment aims at understanding the ecological footprint of Fondation Botnar and its activities and advice on how to minimise it.

The Application Template and the Application Review Template currently contain a risk and mitigation assessment that refers to risks threatening the project. Fondation Botnar intends to add a complementary part of this assessment addressing risks on an environmental and systems level (e.g. participating populations, strains on local infrastructure and services) that may arise from the proposed project (see also Topic 6 and 10).

14.2.E

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

Answer: High – to be dealt with in the next 2 years.

14.3 Promoting the 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: Yes, we have a formal (written) policy in place.

Notes: The Code of Conduct clearly states “We work inclusively and do not tolerate any form of discrimination.” That inevitably includes not tolerating any form of discrimination towards women and taking steps to ensure that they are included at all levels.

14.3.B

Does your organisation plan to formalise these practices or make them explicit?

Answer: Not applicable.

14.3.C

Does your organisation follow any guidelines for taking actions 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: Yes, the Whistleblowing Guidelines.

14.3.D

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

Answer: Not applicable.

14.3.E

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

Answer: Fondation Botnar does not plan on taking any action in this regard since the foundation is satisfied with its current performance and practices.

14.3.F

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

Answer: Medium – to be dealt with in the next 4 years.



Topic 15



Expectation of all
partners to adhere to
a best practice standard
in research collaboration

Topic 15

Why is '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 the potential for 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 the basis for organisational behaviour, and make 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/>

15.1 Partner requirements for fair research partnerships

15.1.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 practice in research collaboration.

Answer: Although not formalised in the Code of Conduct, in the Terms of Reference for the midterm evaluation of research projects, Fondation Botnar subscribes to the 11 principles of the “Guide for Transboundary Research Partnership” (KFPE principles) of the Swiss Commission for Research Partnerships with Developing Countries. However, Fondation Botnar recognises that their use could be expanded both between Fondation Botnar and applicants, and between applicants and their partners. The midterm evaluation of research projects includes a question about how the project is aligned with the RFI and how research fairness can be optimised in future steps of the projects; grantees are asked to focus on decision-making and responsibilities, capacity building, project ownership, and the distribution of costs and benefits. Additionally, the Application Template and an annex of the Grant Agreement ask for a description of partners’ roles and responsibilities and “deliverables/responsibilities”, respectively. The Grant Agreement also states that the applicant needs to create a partner agreement including certain clauses which are carefully listed.

15.1.B

Does your organisation have policies or practices in place which require its stakeholders to produce RFI Reports on their own organisations or to make explicit statements about adoption and use of existing codes of research practice?

RESEARCH PARTNERS

Answer: Not applicable.

15.1.C

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

Answer: Not applicable.

15.1.D

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?

RESEARCH FUNDERS/SPONSORS

Answer: Not applicable.

15.1.E

Does your organisation plan to formalise these practices or make them explicit?

Answer: Not applicable.

15.1.F

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

Answer: Not applicable.

15.1.G

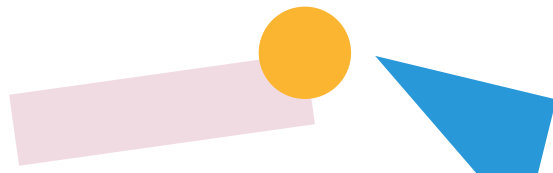
What steps does your organisation intend to take in the next one or two years to improve its policy and practice with regard to requiring research management staff to be trained and remain updated on best practices in fair research contracting?

Answer: Not applicable.

15.1.H

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

Answer: Not applicable.



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

15.2.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: Yes, we have a formal (written) policy in place.

Notes: The midterm evaluation of projects clearly states the following “Fondation Botnar subscribes to the principles of the Swiss Commission for Research Partnerships with Developing Countries (KFPE) and the Research Fairness Initiative (RFI). It is important for the foundation that research is fair and equitable, building lasting partnerships and sustainable capacity.” This document also includes a question about how the project is aligned with the RFI. Other documents that help applicants to follow best practices are (i) the Grant Agreement that includes an annex in which applicants are asked to describe “deliverables/responsibilities” per partner and states that the applicant needs to construct a partner agreement to be signed by all partners; (ii) the Application Template, which also includes a question concerning the roles and responsibilities of the applicants and other partners.

15.2.B

Does your organisation plan to formalise these practices or make them explicit?

Answer: Not applicable.

15.2.C

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

Answer: Not applicable.

15.2.D

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

Answer: Fondation Botnar commits to finalising the pilot scheme of incorporating additional key measures for assessing the operationalisation of the fairness principles in its grant making process, and then to using the lessons learned to inform future funding schemes. Key measures may include, for example, governance structure and quality; proof of approval of the application and the budget by all co-applicants; proof of alignment with KFPE partnership principles; and/or RFI certification status of the applicant institution. The foundation plans to adapt the Application Template accordingly (see also Topics 2, 3, 4, 7).

15.2.E

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

Answer: Medium – to be dealt with in the next 4 years.

Summary of short-term actions for Fondation Botnar

Short-term action

applies to topics

→ 2, 3, 4,
→ 7
→ 15

Fondation Botnar commits to finalising the pilot scheme of incorporating additional key measures for assessing the operationalisation of the fairness principles into grant making process and then to using the lessons learned to inform future funding schemes. Key measures may include for example, governance structure and quality; proof of approval of the application and the budget by all co-applicants; proof of alignment with KFPE partnership principles; and/or RFI certification status of the applicant institution. The foundation plans to adapt the Application Template accordingly.

#1

Short-term action

applies to topics

→ 2

Fondation Botnar intends to apply the Theory of Change (ToC) and its collaborative aspect systematically across the working areas of Fondation Botnar.

#2

Short-term action

applies to topics

→ 2, 5,
→ 7
→ 11

In projects with a specific budget, Fondation Botnar will develop and implement, together with grantees, a programme and/or capacity-building strategy to meet the identified technical capacity and resource deficiencies. Going forward, the foundation will increasingly use a systematic approach to incorporate this component into larger grants.

#3

Short-term action

applies to topics

→ 3
→ 13

Fondation Botnar will update and implement its impact framework in the Application Template, requiring grantees to determine impact goals together with a timeline for the achievement of these goals and milestones. Fondation Botnar also intends to produce a guidance document for grantees regarding the dissemination principles (especially publications).

#4

Short-term action

applies to topics

→ 5

Fondation Botnar plans to establish a Third-Party Risk Management System by mid-2022, which will allow a capacity assessment for certain types of project applications, particularly large ones.

#5

Short-term action

applies to topics

→ 6, 10
→ 14

The Application Template and the Application Review Template currently contain a risk and mitigation assessment that refers to risks threatening the project. Fondation Botnar intends to add a complementary part of this assessment addressing risks on an environmental and systems level (e.g., participating populations, strains on local infrastructure, and services) that may arise from the proposed project.

#6

Summary of short-term actions for Fondation Botnar

Short-term action

applies to topics

→ 7

#7

Fondation Botnar intends to produce a guidance document for applicants with regard to the sourcing of products.

Short-term action

applies to topics

→ 8

#8

Fondation Botnar will do a careful check of all ethical clearance letters at appropriate time points, depending on the nature of the project. Fondation Botnar will also formalise in writing that projects need to be granted ethical approval by REC/IRBs from the country (or countries) where the 142 project will take place. Fondation Botnar will include a statement about the Declaration of Helsinki in the Code of Conduct.

Short-term action

applies to topics

→ 9

#9

Fondation Botnar may start to evaluate whether grantees have applied their Global Access Approach in the progress reporting. Fondation Botnar plans to offer a training module on data ownership, storage, access and use to its grantees via the Cross-Cutting Capacity Strengthening Platform.

Short-term action

applies to topics

→ 10

#10

As a first step, Fondation Botnar intends to encourage grantees to explain the overhead allowance more explicitly in the Application Template (meaning that they will have a budget for capacity building internally and admin functions including a budget).

Short-term action

applies to topics

→ 11

#11

Fondation Botnar intends to introduce the possibility for ongoing/spontaneous applications for its “Basic Grants”. In the long term, the foundation is looking for greater predictability for its whole portfolio of instruments. Fondation Botnar therefore commits to start discussions on defining a funding period (annual, biannual, every four years, etc.) and a corresponding portfolio of instruments that will allow it to announce the entire portfolio at the start of each funding period.

Short-term action

applies to topics

→ 14

#12

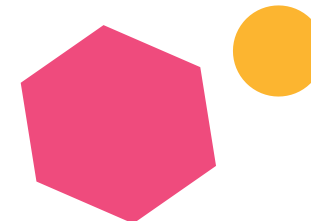
Fondation Botnar will assess in what fields to develop an action plan for environmental questions. The initial assessment aims at understanding the ecological footprint of Fondation Botnar and its activities and advises on how to minimise it.



Report Summary

INDICATOR	STATUS	PRIORITY
Topic 1 Relevance to communities in which research is done		
1.1 Research priorities in communities where research is being conducted	Draft	Medium
1.2 Actions to be taken if there are no research priorities	Draft	Low
1.3 Justification for researching low priority topics	Draft	Low
Topic 2 Early engagement of partners		
2.1 Relationship between the 'main/lead/sponsoring' and 'other' partners	Draft	Medium
2.2 SOPs for supportive actions on behalf of partners	Draft	High
Topic 3 Making contributions of partners explicit		
3.1 Role clarification in research partnerships	Draft	Medium
3.2 Making potential beneficial impact explicit before starting research	Draft	High

Domain 1 *Fairness of opportunity*



INDICATOR

STATUS

PRIORITY

Topic 4

Ensuring that matching and other co-financing mechanisms do not undermine opportunities for fair participation of all partners

- 4.1 Equal co-financing
- 4.2 Alternatives to equal co-financing
- 4.3 Research outside national priorities and co-financing

Draft
Draft
Draft

Medium
Medium
Low

Topic 5

Recognition of unequal research management capacities between partners and providing for appropriate corrective measures

- 5.1 Research management capacity
- 5.2 Financial management capacity
- 5.3 Contracting and contract negotiation capacity

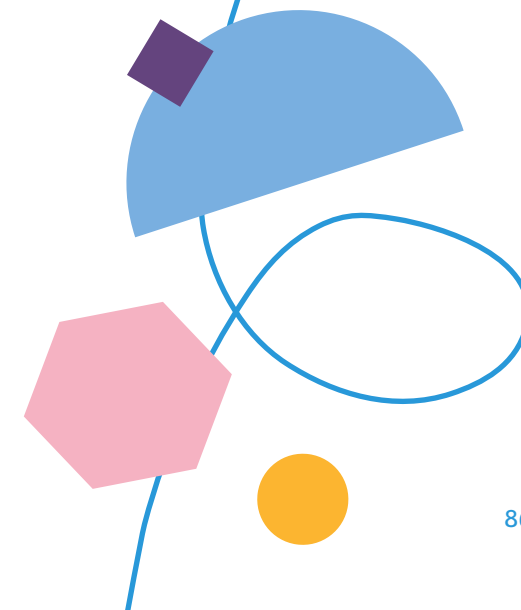
Draft
Draft
Draft

High
High
Medium

INDICATOR	STATUS	PRIORITY
Topic 6 Minimising the negative impact of research programmes on systems 6.1 Assessing potential or actual harm of research 6.2 Reducing any potential negative impact of research 6.3 Compensation for unintended (negative) consequences of research	Draft Draft Draft	Medium Medium Low
Topic 7 Fair local hiring, training and sourcing 7.1 Local staffing and sourcing of consumables and services 7.2 Support for local capacity development	Draft Draft	Medium Medium
Topic 8 Respect for authority of local ethics review systems 8.1 Research ethics approval 8.2 Supporting local research ethics review capacity	Draft Draft	Medium Medium
Topic 9 Data ownership, storage, access and use 9.1 Data ownership and accessibility agreements 9.2 Material transfer agreements	Draft Draft	Medium Low
Topic 10 Encouraging full cost recovery budgeting and compensation 10.1 Full cost recovery budgeting 10.2 Improving/standardising budgeting	Draft Draft	Medium Medium

Domain 2

Fair process



INDICATOR	STATUS	PRIORITY
Topic 11 Research system capacities		
11.1 Training	Draft	Medium
11.2 Increase (predictable) funding	Draft	High
Topic 12 Intellectual property rights and tech transfer		
12.1 Technology transfer	Draft	Medium
12.2 Sharing intellectual property rights	Draft	Medium
12.3 Contracting support for IPR	Draft	Medium
Topic 13 Innovation system capacities		
13.1 Ensuring socio-economic benefits for local communities	Draft	Medium
13.2 Support innovation culture	Draft	High
Topic 14 Due diligence		
14.1 Achieving international development goals	Draft	Medium
14.2 Negative environmental impact	Draft	High
14.3 Promoting participation of women in science and innovation	Draft	Medium
Topic 15 Expectation of all partners to adhere to a best practice standard in research collaboration		
15.1 Partner requirements for fair research partnerships	Draft	
15.2 Expectations to adhere to accepted or available best practice for responsible research collaborations	Draft	Medium

Domain 3

Fair sharing of benefits, costs & outcomes

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