

# Institut de Recherche pour le Développement France

## RESEARCH FAIRNESS INITIATIVE REPORT



## IRD, 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](http://rfi.cohred.org)). The publication of this report reflects the reporting organization's commitment to provide a fair and equitable research environment. The report has been validated by the RFI Team as compliant with current reporting criteria. The content of the report is the sole responsibility of the reporting organization. The Council on Health Research for Development does not endorse, nor take responsibility for, the specific content of the report.

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## Glossary

AFD - Agence Française de Développement (French Agency for Development)

APA - Accès aux ressources génétiques et de Partage juste et équitable des Avantages découlant de leur utilisation (Access to Genetic Resources and Fair and Equitable Sharing of the Benefits Arising from their Use)

ARTS - Allocations de Recherche pour une Thèse au Sud (Research Grants for a Thesis in the South)

CCDE - Comité consultatif de déontologie et d'éthique (Advisory Committee on Ethics and Professional Conduct)

CCERP - Comité consultatif éthique pour la recherche en partenariat (Ethics Advisory Committee for Research in Partnership)

CIRAD - Centre de Coopération Internationale en Recherche Agronomique pour le Développement (Center for International Cooperation on Agricultural Research for Development)

COHRED - Council on Health Research for Development

COP - Contrat d'Objectifs et de Performance (Contract of Objectives and Performance)

COS - Conseil d'orientation stratégique (Strategic Orientation Council)

CPSS - Comités de Pilotage Scientifique et Stratégique (Scientific and Strategic Steering Committees)

CS - Conseil Scientifique (Scientific Council)

CSS - Commissions Scientifiques Sectorielles (Sectoral Scientific Commissions)

DAJ - Direction des affaires juridiques (Legal Affairs Department)

DPI - Droits de Propriété Intellectuelle (Intellectual Property Rights)

ESR - Enseignement Supérieur et Recherche (Higher Education and Research)

FAIR - Findable Accessible Interoperable Reusable

FSI - Fronts de Science Interdisciplinaires (Interdisciplinary Science Fronts)

GDRI-SUD - Groupements de Recherche Internationaux au Sud (International Research Groups in the South)

H2020 - Horizon 2020

IFREMER - Institut Français de Recherche pour l'Exploitation de la Mer (French Research Institute for Exploitation of the Sea)

INRAE - Institut National de Recherche pour l'Agriculture, l'Alimentation et l'Environnement (National Research Institute for Agriculture, Food and the Environment)

IRD - Institut de Recherche pour le Développement (Research Institute for Development)

JEAI - Jeunes Equipes Associées à l'IRD (Young Associate Teams at IRD)

LMI - Laboratoires Mixtes Internationaux (International Joint Laboratories)

MAT - Mutually Agreed terms

MCD - Missions Courte Durée (Short Term Missions)

MEAE - Ministère de l'Europe et des Affaires Étrangères (Ministry for Europe and Foreign Affairs)

MESRI - Ministère de l'Enseignement Supérieur, de la Recherche et de l'Innovation (Ministry for Higher Education, Research and Innovation)

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MLD - Missions Longue Durée (Long Term Missions)  
MTA - Accords de Transfert de Matériel (Equipment Transfer Agreements)  
ODD - Objectifs de Développement Durable (Sustainable Development Goals)  
ONG - Organisation Non Gouvernementale (Non-Governmental Organisation)  
PAA - Plan d'Action d'Achat (Purchasing Action Plan)  
PED - Pays En Développement (Developing Country)  
PGD - Plan de Gestion de Données (Data Management Plan)  
POS - Plan d'Orientation Stratégique (Strategic Orientation Plan)  
PRP - Personnel Recruté sur Place (Locally Hired Staff)  
PSF - Projet Structurant de Formation (Structuring Training Project)  
PSIP - Programmes Structurants Interdisciplinaires Partenariaux (Structuring Interdisciplinary Partnership Programs)  
RFI - Research Fairness Initiative  
RGPD - Règlement Général sur la Protection des Données (General Data Protection Regulation)  
RH - Ressources Humaines (Human Resources)  
SATT - Sociétés d'Accélération de Transfert de Technologie (Technology Transfer Acceleration Companies)  
SPCR - Service Partenariat et Contrats de Recherche (Partnership and Research Contracts Department)  
SRIV - Service Régionaux Innovation et Valorisation (Regional Innovation and Valorisation Service)  
UE - Union européenne (European Union)  
UMR - Unité Mixte de Recherche (Joint Research Unit)



## Foreword

IRD's inclusion in the Research Fairness Initiative (RFI): an obvious choice.

Beyond times and challenges, one conviction unites and sets IRD apart: constant and confident attachment to research practices that are committed to equitable partnerships and sustainable development.

Our constant commitment to promoting open, shared, and responsible science with partners and stakeholders worldwide, and particularly in the South, is the foundation of our missions. IRD is present alongside its partners within academic institutions and research institutes in the South and in French overseas territories. At IRD, we consider equitable partnerships through co-construction, which requires dialogues and cross-mobility between research, training and innovation actors both from the South and from the North.

The issues and challenges we face require concerted approaches and co-constructed actions for sustainable solutions. Science must be guided by virtuous practices, based on equity, ethics, integrity, and strong partnership values.

These guidelines and principles are found at every stage of the projects we carry out, both in their construction and implementation, as well as in the sharing and valorisation of their potential innovative impact on society. IRD has implemented partnership mechanisms that translate these principles into operational practices. The present report reflects these fundamental practices that serve the challenges of sustainable development.

Alongside COHRED, IRD's unique positioning and experience abroad give it legitimacy to support and improve the deployment of equitable and ethical partnership practices in the world of research in the South as well as the North. Our demanding nature encourages us to open our doors wider, to share our experience and to nourish our reflections and ambitions, particularly regarding the sharing of the benefits of research and innovation.

IRD's inclusion in the RFI is an obvious choice. It is a new, positive and necessary step in these times marked by deep questionings about science and about our professional practices.

As IRD prepares its new 2021-2025 Contract of Objectives and Performance (COP), the Institute's involvement in this initiative is one of my priorities. It is fully in line with other commitments made in favour of open and shared science, an ambitious environmental pact and the promotion of diversity and gender equality.

I am delighted to be able to share this vision and our experience. Of course, there is a diversity of voices and paths, and of ways to implement equitable partnerships. Such diversity may surprise us, challenge our thinking and question our values. This initiative of sharing should enable us to further improve already virtuous practices.

I have chosen to fully commit IRD to the RFI approach, which should tend to become a global standard. This will allow us to improve our practices in terms of equity but also give us the means to measure them. I will make sure that our results are valued by our national and international partners, but also by all our agents internally. This exercise will thus encourage us to maintain a constant concern for the improvement and adaptation of our practices in the field of equitable partnership research, and for its promotion towards and for the societies with which we work. I wish to particularly thank all IRD teams for their investment in this beautiful initiative.

Valérie VERDIER  
Chief Executive Officer  
Institute for Research and Development (IRD)

## Executive Summary

Created in 1944 and internationally recognised, the Research Institute for Development (IRD) is a French public scientific and technological institution operating under the joint authority of the French Ministry for Higher Education, Research and Innovation and the Ministry for Europe and Foreign Affairs. It is present in metropolitan France, in the French overseas territories, with international and European organisations in Brussels and Rome, and, above all, in the intertropical regions and the Mediterranean area. As a multidisciplinary institution, its mission is to conduct research programs, expert assessments, training and valorisation activities for development with a dual objective of advancing knowledge and strengthening scientific communities in developing and emerging countries. Organised into five scientific departments, its teams respectively cover internal and surface dynamics of continents, ecology and biodiversity, oceans and climates, health and societies, and globalisation.

- Building on its commitment and achievements, as well as its perception of regular changes in the context of development, the IRD decided to conduct an internal reflection on its partnership practices in 2020 and selected the approach initiated by COHRED/RFI. The Research Fairness Initiative (RFI) is a process set up by the Council on Health Research for Development (COHRED) (1) to encourage institutions to reflect on the fairness of their research partnerships by providing them with a basis for reflection and supporting them in sharing good practices towards continuous improvement. This process aims at the production of public reports that feed into a platform for circulating good partnership practices (<https://rfi.cohred.org/evidence-base/>).

The present RFI report is part of that framework. It fills in the indicators for 15 topics of reflection defined in COHRED's RFI writing guide and divided into three areas corresponding to the different phases of research projects. The choice to present the report through the prism of North-South relations seems legitimate in view of IRD's very specific mission and the equally specific issues it raises in terms of equity and ethics. This does not undermine the fact that North-North relations sometimes raise certain ethical or equity issues as well.

- IRD displays a strong political commitment, comprehensive and documented tools and mechanisms, an integrated and ever-evolving action over the three phases of the project, and above all a continuous concern for the promotion of equitable and efficient partnerships.

To better illustrate and share its commitment, IRD has developed several framework documents. It has adopted a Charter for Partnership in Research for Development and the European Code of Conduct for Research Integrity (ALLEA), and has developed a Guide to Good Practices in Research for Development for its staff. Furthermore, IRD has implemented an integrated approach to promote ethical practices, in particular through the creation of an Ethical Advisory Committee for Research in Partnership (CCERP) (2) and the appointment of a Nagoya Officer. In

addition, for several years now, IRD has been opening up its advisory bodies to its partners in the interests of sharing and transparency.

IRD's context is unique, rich as well as complex. IRD collaborates with multiple research partners that cover many disciplines as well as a large part of the world (as of Dec. 31, 2020, 4,345 partners from 155 different countries were listed in IRD's Partners database). This diversity of situations has led IRD to adopt a multiform system of adjusted partnership practices. IRD is also endowed with a capacity to adapt regularly, with the human dimension and the sharing of means and working conditions at the heart of the projects.

For many years, IRD has been deploying proven tools that have contributed to building up its experience and creating conditions conducive to the equity and effectiveness of partnerships in all circumstances. These include long-term expatriation of researchers, hosting partners in metropolitan France for scientific stays within research units, and strengthening the skills of partners.

This richness and complexity have led the Institute to formalize its practices, rules and principles almost systematically. The mechanisms implemented by research support services for contracting, budgeting, and scientific communication and mediation are also key assets for the quality and efficiency of partnerships. All of IRD's skills are organised to contribute to equitable partnerships.

Today, IRD is committed to the new challenges of open science, sustainability science, gender equality, the fight against corruption and social responsibility.

- While there are many practices and policies in place to strengthen equity and ethics in partnerships, these need to be discussed and improved constantly. The RFI has thus enabled the identification of paths to consolidate or develop IRD's current practices and policies.

Priority will be given to several of the major projects underway at IRD (2021-2025), such as the implementation of various new roadmaps (open science, respect for the environment, promotion of female and young scientists, the fight against corruption), but also the culture of impact (both upstream and downstream phases of projects), strengthening of ethics, etc.

The identified paths cover the three project phases. They will materialise:

- In terms of consolidation of new mechanisms or tools under construction (scientific and strategic steering committees in representations abroad, open science, science of sustainability) or older mechanisms (preparation of the upstream phase and ex-ante validation of projects is still very uneven depending on the type of project).
- In terms of promoting the achievements of the approach with our partners (advocacy for ethical and equitable partnerships).
- In terms of adaptation, for example by integrating criteria related to the quality of partnerships into researchers' and projects' evaluation (how projects are built, negotiated, formalized).
- In terms of innovation, for example by promoting the anticipation of negative consequences or expected effects (culture of impact) on research systems, communities, the environment, etc.

IRD also plans to consolidate the support system for monitoring the RFI approach in order to support its dissemination at all levels of the Institute, among its entire staff and all its partners, in the North and in the South.

(1) COHRED is an international non-governmental organisation working to reduce inequalities and improve health among populations. COHRED is also the creator of the Fair Research Contracting tool, which facilitates the drafting of fair contracts.

<https://www.cohred.org/>

(2) The CCERP's mission is to promote reflection on ethical issues raised by scientific research and on the culture of ethics in partnerships with developing countries.

## ORGANISATION OF THE REPORT

The RFI Reporting Guide is built around fifteen themes evenly distributed among three broad areas :

- Domain 1 focuses on the participation of all stakeholders in the upstream stages of research development. In particular, it encourages institutions to consider the relevance of their research to the contexts in which it is performed.
- Domain 2 analyses how research programs are implemented. This includes encouraging the minimisation of negative impacts that may occur during the implementation of research programs and engaging in local recruitment and supply of equipment.
- Domain 3 focuses on sharing the benefits and results of research programs as well as on proposed research and innovation capacity-building actions.

The report follows the outline of the RFI guide along three sections, one for each domain:

- Each section is first introduced by a summary of the domain, restating the topic and main issues.
- Presentations of each of the themes included in the domain follow and provide a description of the mechanisms and practices and the documentation used to illustrate it.
- For each theme, the guide asks about possible complementary actions that may be relevant to any institution outside IRD that may consult the report.

# Overview of the Research Fairness Initiative (RFI) and how IRD 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, in principle, appropriate to any field of scientific collaboration, and it may be used by anyone who engages as 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 that is to ‘Strengthen the means of implementation and revitalize 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, organizations are required to describe their current organizational 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.

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

## How IRD applied the RFI

In order to assess IRD's mechanisms and practices, some 50 interviews were conducted with people in key positions (researchers, IRD representatives abroad, research support staff, etc.), using questions provided by COHRED in its RFI writing guide. Collective workshops were organised and brought together scientists and

research support staff in each IRD regional delegation, in order to share this initial assessment and discuss actions needed to reinforce the equitable nature of current IRD policies and practices. Overall, this phase mobilised more than 80 people. The RFI Global Learning Platform was also used to identify actions to be taken. Based on this work, the last phase consisted in consolidating the wording for the proposed actions and specifying priority levels for the next two years with support services and IRD scientists. It is to be noted that the Department for Mobilisation of Research and Innovation for Development, the International and European Relations Department, the Expertise Mission, the Ethics Committee, the Legal Affairs Department and the Partnership and Science Support Mission were specifically involved in the project. In parallel, the process benefited from the input of various bodies such as the Scientific Council and the CCERP, as well as IRD's research departments. The report was validated by the main IRD governing body (COMEX) and the Board of Directors.

# Domain 1

## **Fairness of Opportunity**

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

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



## Topic 1: Relevance to Communities in which Research is done

### Why is 'relevance to communities' a Reporting Topic?

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

### Definitions:

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

### Existing Solution(s):

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

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

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

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

## 1.1 Research priorities in communities where research is being conducted.

### Attachments

Terms of Reference for Research Partnership Mechanisms (FR)

Guide to Good Practices in Research for Development (FR)

Charter on Research Partnership for Development (FR)

Framework Agreement Template

### 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:

Within the countries in which it is active, IRD collaborates with three main categories of actors: the scientific community (including institutions as such), national authorities (notably ministries), and civil society, viewed here as encompassing all actors not linked to public institutions. In order to work with these actors, IRD relies on several elements.

#### 1 - RESEARCH PRIORITIES IN COMMUNITIES WHERE RESEARCH IS BEING CONDUCTED

- Two framework documents: the Charter for Partnership in Research for Development (3) - annexed to the framework agreements signed between IRD and its partners - and the Guide to Good Practices in Research for Development (4). Principles 1 and 2 of the Guide, as well as point 5 of the Charter, reaffirm the essential nature of the match between research project subjects and the priorities of the communities in which they are carried out.
- Headquarters agreements: agreements signed between IRD and hosting States (they also associate the local French Embassies). They recognise IRD as a legal entity in its own right and demonstrate the willingness of the foreign State to host IRD on its territory and share its scientific policy.
- Framework agreements for scientific and technical cooperation co-constructed between IRD and partner countries' higher education and research systems. These agreements formalise partners' research priorities and set the general terms for cooperation. Each party appoints a representative in charge of the follow-up and supervision of scientific and technical cooperation.
- A network of IRD representations abroad and in the French overseas territories. The representatives contribute to the relevance of IRD's actions to the country's research and development issues.

The representatives maintain dialogue with national institutions and partners as well as with French, European, international and multilateral actors, including non-

governmental and private sector stakeholders working in this field. They ensure that implemented actions and practices are consistent with both the commitments made and the principles of equity. They are supported by Strategic and Scientific Steering Committees (CPSS), which are consultative in nature and are organised by IRD representatives on a local basis. As a forum for discussion, they bring together the country's scientific and institutional partners. They enable the formulation of opinions and recommendations on the relevance of IRD's current actions in the country's or territories' context, in light of development issues and actions carried out by other development actors. IRD representatives are systematically consulted during the validation process of partnership agreements and may provide input on the relevance of projects.

These committees are held annually in all countries where IRD is represented. Sustained dialogue is ensured within IRD's advisory bodies or review boards of which partners can be members (the Consultative Committee on Ethics in Partnership Research, the Scientific Council in charge of the Institute's scientific policy, the Sectoral Scientific Commissions which evaluate IRD's scientific staff and activities, the Council for Strategic Orientation composed with a concern for North-South balance and gender parity).

- Promoting the priorities and projects of partners from the South in national and international discussions that guide scientific strategies. At the international level, IRD is involved in focus groups (Intergovernmental Panel on Climate Change - IPCC - and Intergovernmental Political and Scientific Platform on Biodiversity and Ecosystem Services - IPBES) or, on a more ad hoc basis, in studies and expert assessments on scientific and technological issues (United Nations Global Sustainable Development Report (5) in 2019, UNEP International Assessment of Agricultural Knowledge, Science and Technology for Development (6) in 2009). At the national level, IRD is involved in research alliances such as AllEnvi (National Research Alliance for the Environment) and Aviesan (National Alliance for Life and Health).
- Original modes of presence in the field and with partners, characterised by a long-term commitment and close involvement with partners. Whether from North to South, from South to North or between countries in the South, researchers' mobility is a fundamental pillar of IRD's research model in partnership for development. It constitutes an indisputable benefit in the perspective of equitable and sustainable partnerships, through the long-term involvement of staff in local communities. The continuous presence of IRD agents abroad and in French overseas territories gives IRD a precise knowledge of research fields, enabling it to grasp evolutions in real-time and to appreciate the processes of change astutely. In addition, long-term human relations between IRD researchers and various stakeholders in partner countries (research communities involved, decision-making bodies, ministries, local communities, etc.) allow for better knowledge and understanding of local higher education and research communities' interests and feed the Institute's strategic and scientific orientations.

- A selection criterion for the partnership research mechanisms (7) set up by IRD: the Young Associated Teams (JEA), International Joint Laboratories (LMI), International Research Groups - South (GDRI-Sud) and structuring training projects (PSF). Projects are selected through annual calls for proposals. All calls for proposals are open, non-thematic, and proposed by partners according to their priorities. For all those projects, leaders are required to demonstrate the coherence of their activities with both the developments and priorities set by their country's higher education systems and with the national and regional strategies of their research units. Selection bodies also rely on the opinion of IRD representations in countries concerned by the projects. In addition, project leaders must provide letters of support from heads of the institutions to which members of the applicant research teams are attached at the time of application. Mid-term and final evaluations of the research partnerships are organised in consultation with partner institutions.
- The mobilisation of IRD's Consultative Ethics Committee for Research in Partnership (CCERP), which checks that research subjects are in line with research priorities in the countries in which the research is carried out. This request for advice concerns so-called "sensitive" projects. In order to avoid ethical dumping, the local committee's ethical opinion must be provided when submitting an application for ethical review of a research project.

## 2 - ACTIONS IF THERE ARE NO RESEARCH PRIORITIES

- When there are no explicit priorities in the host country, the expectations or agreements of IRD's institutional partners are taken into account as a rule. In all cases, projects must have received approval from local authorities.
- If the promotion of new approaches such as sustainability science (with the creation of a dedicated Mission within IRD) or participatory and citizen sciences is largely aimed at better identifying all research actors and beneficiaries' priorities and expectations (including populations and non-academic stakeholders), it is particularly useful in cases where national priorities could not be identified as a way to inform choices.

## 3 - JUSTIFICATION TO RESEARCH LOW-PRIORITY TOPICS

- Research outside of national priorities does not call into question the fundamentals of the approach and must receive prior approval from a local authority; as such decisions are made on an exceptional basis.

### **Notes:**

(3) This charter was developed by IRD in close consultation with partners from the global South (see theme 15).

(4) The Guide is introduced in Topic 15. It is available on IRD's website.

(5) [https://sustainabledevelopment.un.org/content/documents/24797GSDR\\_report\\_2019.pdf](https://sustainabledevelopment.un.org/content/documents/24797GSDR_report_2019.pdf)

(6) <https://wedocs.unep.org/handle/20.500.11822/7880>

(7) The report regularly refers to these so-called "structuring" projects (LMI, GDRI, JEAI, PSF), as they are in essence true laboratories of practices. Those mechanisms aim to promote the emergence or consolidation of sustainable and autonomous research teams or structures in the South. For example, around 40 LMIs and GDRI have been set up as of 2021, while 165 JEAI projects have been supported since 2002 in more than 40 countries with 46 projects underway in 2020.

### 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:**

None.

### 1.1.C

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

**Answer:**

Not applicable

**Notes:**

None.

### 1.1.D

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

**Answer:**

- Decree n°84-430 of June 5, 1984 on the organization and functioning of IRD (FR) [www.legifrance.gouv.fr/loda/id/JORFTEXT000000699018/](http://www.legifrance.gouv.fr/loda/id/JORFTEXT000000699018/)

- Video on the Nagoya Protocol (FR)  
[www.youtube.com/watch?v=BHKx1RYsr1Q](http://www.youtube.com/watch?v=BHKx1RYsr1Q)

**Notes:**

None.

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**1.1.E**

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

**Answer:**

1. Strengthen dialogue at the local level : IRD will continue the deployment of the Strategic and Scientific Steering Committees (CPSS) and related workshops in countries that do not yet have one and the broadening of the spectrum of participants in the other countries.
2. Support the project leaders' commitment to take into account the priorities of host countries, or, if not, partners' expectations and local issues (for example, by communicating widely on the research and development issues of partner countries, and national strategies when they are formalised).
3. Integrate an indicator on the positioning of projects in relation to local priorities into the contracting process.
4. Develop a system to support the mobility of partners in France with a view to building new projects.
5. Increase the mobilisation of researchers in structuring research mechanisms sustained by IRD and its partners.

**Notes:**

None.

---

**1.1.F**

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

**Answer:**

High - to be dealt with in the next 2 years

---

**Notes:**

None.

---

## 1.2 Actions if there are no research priorities.

### Attachments

Terms of Reference for Research Partnership Mechanisms (FR)

Charter on Research Partnership for Development (FR)

Guide to Good Practices in Research for Development (FR)

### 1.2.A

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

#### Answer:

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

#### Notes:

The local IRD representative is able to help the researcher in this case.

---

### 1.2.B

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

#### Answer:

No

#### Notes:

None.

---

### 1.2.C

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

#### Answer:

None.

#### Notes:



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None.

---

### 1.2.D

What steps does your organization intend to take in the next one or two years to improve regarding conducting research in situations where there is no clearly formulated research agenda? If you provide efforts to support countries or regions to develop their research agenda as part of your engagement, please state that here and provide examples.

**Answer:**

No short-term measure was identified.

**Notes:**

None.

---

### 1.2.E

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

**Answer:**

Low - to be dealt with in the next 6 years

**Notes:**

This indicator does not call for short-term actions for improvement on IRD's part considering what is already in place.

---

### 1.3 Justification to research low priority topics.

#### Attachments

None

#### 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:

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

#### Notes:

None.

---

#### 1.3.B

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

#### Answer:

No

#### Notes:

None.

---

#### 1.3.C

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

#### Answer:

Discussions between the local representative of IRD and the partners can address this issue

#### Notes:

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None.

---

### 1.3.D

What steps does your organisation intend to take in the next one or two years to improve its policy and practice of conducting research in situations where the research your conduct does not clearly address the research agenda?

**Answer:**

No short-term measure was identified.

**Notes:**

None.

---

### 1.3.E

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

**Answer:**

Low – to be dealt with in the next 6 years

**Notes:**

This indicator does not call for short-term actions for improvement on IRD's part considering what is already in place.

---

# Topic 1



## Topic 2: Early Engagement of Partners

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

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

### Definitions

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

### Existing Solution(s)

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

## 2.1 Relationship between the ‘main/lead/sponsoring’ and ‘other’ partners

### Attachments

Charter on Research Partnership for Development (FR)

Capacity building practical guide

Partnership Research Mechanism Application Form – JEAI, LMI, etc. (FR)

Guide to Good Practices in Research for Development (FR)

Terms of Reference for Research Partnership Mechanisms (FR)

### 2.1.A

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

#### Answer:

#### 1 - RELATIONSHIP BETWEEN THE « MAIN/LEAD/SPONSORING » AND « OTHER » PARTNERS

- Described in Domain 1 as a way to ensure that partners' priorities are taken into account, the framework documents and mechanism put in place by IRD also secure the involvement of stakeholders in the early stages of a project's development in order to guarantee equitable participation by all.
- The implementation of a seed fund may notably enable IRD researchers to organise meetings between various stakeholders during the project development. IRD teams may also use their operating budgets to travel to the field, or on the contrary to bring their partners to France in order to put together the project as best as possible and in a collaborative fashion. With the support of adapted tools, discussions may also be held online.
- The principle of shared governance between stakeholders applies to all projects, particularly structuring ones. In those cases, a presentation of the organisation and functioning of the project based on its North/South joint management is required when submitting applications. Letters of support from heads of the institutions to which team members are attached, presenting their commitments in terms of project support in the event of a successful application, must be collected by project leaders within the partnership research schemes. After the joint application submission and if the project is selected, project leaders and partner institutions' scientific departments are interviewed together by a joint committee made up of members from competent sectoral scientific commission(s) and IRD's Scientific Council.
- Discussions between partner structures' scientific departments (beyond the project leaders) before the official notification of agreements are encouraged.

#### 2 - SOPS FOR PARTNER INCLUSION IN STUDY DESIGN

- A proactive approach in the implementation of the Nagoya Protocol, which leads to the formal involvement of local stakeholders from the beginning of the research process and to providing local populations with a voice in the process and method of valorisation by establishing a binding contract between parties from the start. Indeed, the Access and Sharing of Benefits (APA) principle stemming from the Convention on Biological Diversity from which the Nagoya Protocol derives, implies that access to and use of genetic resources or associated traditional knowledge should be the subject of agreements between resources provider and end-user.

IRD appointed a Nagoya Referent who works in close collaboration with the Ethics and Deontology Officer. For several years now, the Referent has also been providing training to researchers. IRD's intention is to extend the spirit of the Nagoya Protocol to all research projects.

### 3 - SOPS FOR SUPPORTIVE ACTIONS TO PARTNERS

- A dedicated partner capacity-building department conducts training to ensure equal participation of all parties in all project phases and activities, as needed.

A "bottom-up" approach for the feedback of capacity building needs for Southern partners, in particular through the structuring South training programs (PSF-South). Within the framework of partnership research programs, project leaders are asked to analyse their strengths and weaknesses and declare possible training needs. The IRD representatives' network may be mobilised to identify needs and support the implementation of actions.

Implementation of both a grant system for doctoral students from the South and grants for appointed partners to be hosted in laboratories in metropolitan France, which may enable them access and/or training on specific equipment.

- Training of researchers on both sides in the use of remote communication and collaboration tools, with the provision of appropriate applications that may be useful in all project phases.

#### Notes:

None.

#### 2.1.B

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

#### Answer:

Yes we have a formal (written) policy in place

**Notes:**

Policy and practices described in 2.1.A, attachments and links

---

**2.1.C**

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

**Answer:**

Not applicable

**Notes:**

None.

---

**2.1.D**

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

**Answer:**

- Video on the Nagoya Protocol (FR)  
[www.youtube.com/watch?v=BHKx1RYsr1Q](http://www.youtube.com/watch?v=BHKx1RYsr1Q)

- PSF Presentation Brochure  
<https://en.ird.fr/PSFprogram>

**Notes:**

None.

---

**2.1.E**

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

**Answer:**

No short-term measure was identified.

**Notes:**



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None.

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### 2.1.F

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

**Answer:**

Low - to be dealt with in the next 6 years

**Notes:**

This indicator does not call for short-term actions for improvement on IRD's part considering what is already in place.

---

## 2.2 SOPs for supportive actions to partners

### Attachments

Capacity uit building practical guide

#### 2.2.A

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

#### Answer:

Yes we have a formal (written) policy in place

#### Notes:

See attachment

---

#### 2.2.B

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

#### Answer:

Not applicable

#### Notes:

None.

---

#### 2.2.C

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

#### Answer:

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

#### Notes:

This case is very rare and solved through discussions with partners.

### 2.2.D

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

**Answer:**

No

**Notes:**

None.

---

### 2.2.E

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

**Answer:**

None.

**Notes:**

None.

---

### 2.2.F

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

**Answer:**

No short-term measure was identified.

**Notes:**

None.

---

### 2.2.G

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

**Answer:**

---

Low - to be dealt with in the next 6 years

**Notes:**

This indicator does not call for short-term actions for improvement on IRD's part considering what is already in place.

---

## Topic 3: Making Contributions of Partners Explicit

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

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

### Definitions

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

### Timely contracting

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

### Existing Solution(s)

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

### 3.1 Role clarification in research partnerships

#### Attachments

European Consortium Agreement Template (FR)

Research Collaboration Agreement Template

AVIESAN Recommendations (FR)

JEAI Awarding Decision Template (FR)

#### 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:

##### 1 - ROLE CLARIFICATION IN RESEARCH PARTNERSHIPS

- Adherence to the European Code of Conduct for Research Integrity published by ALLEA (All European Academies). In order to contribute to equity in research collaborations, and among other things, ALLEA recommends the application of the following principles:

"2.6. Collaborative work ... : At the start of their collaboration, all partners formally agree on their expectations and criteria for research integrity, applicable laws and regulations, protection of collaborators' intellectual property, and procedures for conflict management and possible agreement breaches. All partners involved in a scientific collaboration are properly informed and consulted about requests to publish research results."

Upstream of each project, discussions take place between all partners regarding the definition of roles, responsibilities, rights and contributions of each party, which are integrated into collaboration agreements.

Rules for signing publications are explicitly mentioned in all agreements (following recommendations from the French Ministry for Higher Education, Research and Innovation (MESRI)).

- For IRD's research partnership mechanisms (JEAI, GDRI or LMI and PSF), terms of reference for calls for proposals explicitly specify these issues. Application requirements include asking each project leader to describe their team, by specifying the function of each member and how the project will be implemented. Those elements are then integrated into contractual documents (agreements, decision to grant aid, etc.). For example, article 4 of the LMI Agreement template focuses on defining the project's organisation and details the roles of project leaders.

- Support for researchers in formalising collaborations and managing research contracts by dedicated departments, which rely on specific tools and mechanisms for each type of partnership (templates for research collaboration contracts, for framework agreements...).

## 2 - SOPS FOR CONFLICT RESOLUTION

- The conflict issue is integrated into collaboration agreements and is the subject of specific articles. The IRD mediator may also be solicited before any procedure. As a rule, commitments are followed up within the team by project leaders and not at the institutional level. Partnership research projects also request that the person in charge of commitment follow-up be specified and that progress be evaluated both at mid-term and at the end of the project.

## 3 - MAKING POTENTIAL IMPACT EXPLICIT BEFORE STARTING RESEARCH

- Projects funded by international donors usually include a detailed presentation of stakeholders' rights and roles within a required framework. Increasingly, donors are also requesting a presentation of potential/expected benefits to academic and non-academic beneficiaries.

### Notes:

None.

---

### 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? Authorship on any publication resulting from this study?

### Answer:

Yes we have a formal (written) policy in place

### Notes:

None.

---

### 3.1.C

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

### Answer:

Not applicable

**Notes:**

None.

---

**3.1.D**

Feedback to study population?

**Answer:**

Yes we have a formal (written) policy in place

**Notes:**

None.

---

**3.1.E**

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

**Answer:**

Not applicable

**Notes:**

None.

---

**3.1.F**

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

**Answer:**

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

**Notes:**

None.

---



### 3.1.G

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

**Answer:**

Yes

**Notes:**

See 3.1.K

---

### 3.1.H

SOPs for conflict resolution?

**Answer:**

Yes we have a formal (written) policy in place

**Notes:**

None.

---

### 3.1.I

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

**Answer:**

Not applicable

**Notes:**

None.

---

### 3.1.J

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

**Answer:**

- Presentation of APA (FR)  
[www.ird.fr/acces-la-biodiversite-et-partage-des-avantages-0](http://www.ird.fr/acces-la-biodiversite-et-partage-des-avantages-0)

- International Joint laboratory (IJL / LMI) Programm presentation  
<https://en.ird.fr/international-joint-laboratories-lmi>

**Notes:**

None.

---

**3.1.K**

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

**Answer:**

1. Build a methodological framework, allowing the researchers to formalise types of expected or possible impacts or contributions of their research projects (on local communities, research systems, the environment, at the society level, etc.) as well as mechanisms or vectors involved.
2. Disseminate to researchers available tools enabling reflection on the impacts of projects throughout their examination process, such as :
  - the Horizon Europe method for setting up European programs (Key Impacts Pathways or Logical Framework, the chain of results, indicators, sources and means of verification, risks and assumptions) [https://ec.europa.eu/info/funding-tenders/opportunities/docs/2021-2027/horizon/temp-form/af/af\\_he-ria-ia\\_en.pdf](https://ec.europa.eu/info/funding-tenders/opportunities/docs/2021-2027/horizon/temp-form/af/af_he-ria-ia_en.pdf)
  - the Methodology set up by AFD <https://www.afd.fr/fr/ressources/guide-methodologique-du-dispositif-avis-developpement-durable>.
3. Carry out awareness-raising campaigns for researchers and representations on the explicit presentation of potential benefits of research activities.

**Notes:**

None.

---

**3.1.L**

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

**Answer:**

High - to be dealt with in the next 2 years

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**Notes:**

None.

---

## 3.2 Making potential beneficial impact explicit before starting research.

### Attachments

None

### 3.2.A

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

#### Answer:

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

#### Notes:

None.

---

### 3.2.B

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

#### Answer:

Yes

#### Notes:

None.

---

### 3.2.C

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

#### Answer:

None.

#### Notes:

None.

### 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:**

1. Build a methodological framework, allowing the researchers to formalise types of expected or possible impacts or contributions of their research projects (on local communities, research systems, the environment, at the social level, etc.) as well as mechanisms or vectors involved.

2. Carry out awareness-raising campaigns for researchers and representations on the explicit presentation of potential benefits of research activities.

**Notes:**

None.

---

### 3.2.E

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

**Answer:**

High - to be dealt with in the next 2 years

**Notes:**

None.

---

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

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

'Co-payments' are increasingly expected as part of partnerships. This may imply equal financial contributions even though standard of living in one partner institution or country is substantially higher/lower than in another<sup>18</sup>. As a result, equality in payments are not usually possible, which is often a major reason why partnership equality suffers also in other areas, such as decision-making in study design or focus.

### **Definitions**

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

### **Fair matching contributions**

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

### **Existing Solution(s)**

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

## 4.1 Equal co-financing.

### Attachments

Terms of Reference for Research Partnership Mechanisms (FR)

Partnership Research Mechanism Application Form – JEAI, LMI, etc. (EN)

#### 4.1.A

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

#### Answer:

##### 1 - EQUAL CO-FINANCING

- The notice entitled "Ethics of Partnership in Scientific Research" published in 2012 by IRD's former Ethics Committee (CCDE – Advisory Committee for Ethics and Deontology) recommends that Southern countries should make the necessary efforts to achieve jointly defined objectives, in order to establish true partnerships and for partners to be able to maintain their priorities. In addition, the abovementioned Charter on Partnership in Research for Development recommends in article 7 to "Co-construct and co-finance programs and share the search for funding sources".
- The search for funding is often carried out together with partners.

##### 2 - ALTERNATIVES TO EQUAL CO-FINANCING

- The financial contribution of partners is encouraged in partnership research projects that they manage, in order to strengthen the equitable nature of research collaborations. However, this principle takes real constraints into account. Financial contribution is not required, and partners are considered on an equal footing as long as they contribute according to their means and in a form adequate to their capacities. Partners' contributions can thus come in different shapes: monetary, material (premises, equipment), human (including salaries and social charges, financing or co-financing of scholarships, funded missions, specific work contracts) that are mobilised over time. This provision is found in various calls for proposals (LMI, JEAI, GDRI-Sud in particular). Respective contributions to research projects are identified in the annexes of research collaboration contracts.
- The important differences in purchasing power between IRD researchers and local partners are taken into consideration. IRD representations can make suggestions to project leaders on specific contributions. IRD makes sure that its agents are informed on this issue.

##### 3 - RESEARCH OUTSIDE NATIONAL PRIORITIES AND CO-FINANCING

Not applicable

**Notes:**

None.

---

**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 have a formal (written) policy in place

**Notes:**

None.

---

**4.1.D**

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

**Answer:**

Yes

**Notes:**

None.

---

**4.1.C**

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

**Answer:**

Not applicable

**Notes:**

None.

---



#### 4.1.D

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

**Answer:**

Yes

**Notes:**

None.

---

#### 4.1.E

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

**Answer:**

Yes

**Notes:**

None.

---

#### 4.1.F

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

**Answer:**

Yes

**Notes:**

None.

---

#### 4.1.G

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

**Answer:**

- LMI program presentation  
<https://en.ird.fr/international-joint-laboratories-lmi>

**Notes:**

None.

---

**4.1.H**

What steps does your organisation intend to take in the next one or two years to improve its policy and practice of dealing with the relations between research partners that contribute or that can only contribute in unequal measure?

**Answer:**

No short-term measure was identified.

**Notes:**

None.

---

**4.1.I**

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

**Answer:**

Low - to be dealt with in the next 6 years

**Notes:**

This indicator does not call for short-term actions for improvement on IRD's part considering what is already in place.

---

## 4.2 Alternatives to equal co-financing.

### Attachments

Partnership Research Mechanism Application Form – JEAI, LMI, etc. (EN)

#### 4.2.A

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

**Answer:**

Yes we have a formal (written) policy in place

**Notes:**

None.

---

#### 4.2.B

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

**Answer:**

Not applicable

**Notes:**

None.

---

#### 4.2.C

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

**Answer:**

Yes

**Notes:**

None.

---

**4.2.D**

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

**Answer:**

- LMI Presentation  
<https://en.ird.fr/international-joint-laboratories-lmi>

**Notes:**

None.

---

**4.2.E**

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

**Answer:**

No short-term measure was identified.

**Notes:**

None.

---

**4.2.F**

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

**Answer:**

Low - to be dealt with in the next 6 years

**Notes:**

This indicator does not call for short-term actions for improvement on IRD's part considering what is already in place.

---

### 4.3 Research outside national priorities and co-financing.

#### Attachments

None

#### 4.3.A

Does your organisation have institutional policies or practices in place regarding discounting the absence of matching in defining equity in the partnership in such cases – i.e. consider partners equal in spite of low or no financial or other contributions?

#### Answer:

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

#### Notes:

None.

---

#### 4.3.B

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

#### Answer:

No

#### Notes:

None.

---

#### 4.3.C

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

#### Answer:

None.

#### Notes:

None.

---

#### 4.3.D

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

**Answer:**

No short-term measure was identified.

**Notes:**

None.

---

#### 4.3.E

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

**Answer:**

Low – to be dealt with in the next 6 years

**Notes:**

This indicator does not call for short-term actions for improvement on IRD's part considering what is already in place.

---

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

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

Collaborations are key to research development<sup>19 20</sup>. 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 the deliver projects on time. For the entire partnership, important gaps in management capacity puts delivery and quality of research results, as well as reputations at risk. There is, therefore, a special responsibility for institutions in the role of 'lead partner' to assess key management competencies of partners and to provide appropriate supporting actions where needed, as part of beginning of research collaborations.

### Definitions

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

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

### Existing Solution(s)

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

The ESSENCE group of research funders provides a guide on research budgeting. See: [http://www.who.int/tdr/publications/five\\_keys/en/](http://www.who.int/tdr/publications/five_keys/en/).

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

## 5.1 Research Management Capacity

### Attachments

None

#### 5.1.A

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

#### Answer:

##### 1 - RESEARCH MANAGEMENT CAPACITY

IRD does not conduct a formal evaluation in this area, but the continuous and long-term presence of IRD representations and management staff in host countries provides precise knowledge of the administrative and financial management capacities of partners.

There is no specified action in place to increase the financial and research management capacities of IRD's partners. It is not IRD's role to provide technical assistance on administrative and financial matters. Nevertheless, if needs are identified, IRD acts as a link between partners and donors who can implement capacity-building activities. In the framework of projects conducted in partnership, IRD is also keen to find financial resources to strengthen the administrative capacities of its partners, if necessary. For example, within the framework of the ACE-Partner programme, each network coordinating center of excellence has been strengthened with additional human resources financed thanks to external resources.

In addition, IRD can carry out expert evaluations at the request of partners regarding their administrative and financial capacities.

##### 2 - FINANCIAL MANAGEMENT CAPACITY

Regarding funds that can be made available to partners, IRD is able to check the good management of funds either internally on its accounts or externally through embassies. If IRD representatives observe that partners do not wish to or cannot manage their budget directly, the Institute is able to offer an alternative solution by placing the project's budget directly under the management of the representation's accounting office.

##### 3- CONTRACTING AND CONTRACT NEGOTIATION CAPACITY

IRD's support services at Headquarters or within representations collaborate with partners' support services for project contracting.



**Notes:**

None.

---

**5.1.B**

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

**Answer:**

Yes we currently have informal practices in place but they aren’t explicitly written down

**Notes:**

None.

---

**5.1.C**

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

**Answer:**

No

**Notes:**

None.

---

**5.1.D**

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

**Answer:**

Yes

**Notes:**

None.

---

**5.1.E**

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

**Answer:**

A description of the ACE-Partner at IRD can be found in the following link :  
<https://en.ird.fr/acepartner>

**Notes:**

None.

---

**5.1.F**

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

**Answer:**

No short-term measure was identified.

**Notes:**

None.

---

**5.1.G**

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

**Answer:**

Low - to be dealt with in the next 6 years

**Notes:**

This indicator does not call for short-term actions for improvement on IRD's part considering what is already in place.

---

## 5.2 Financial Management Capacity

### Attachments

None

#### 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 currently have informal practices in place but they aren’t explicitly written down

#### Notes:

None.

---

#### 5.2.B

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

#### Answer:

No

#### Notes:

None.

---

#### 5.2.C

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

#### Answer:

Yes

#### Notes:

None.

**5.2.D**

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

**Answer:**

No

**Notes:**

By law, IRD uses standard French public accounting practices that are common to all French public institutions, and established by the French government.

---

**5.2.E**

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

**Answer:**

The financial management capacity of the partners are assessed during the construction of the project, together with the other aspects.

**Notes:**

None.

---

**5.2.F**

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

**Answer:**

No short-term measure was identified.

**Notes:**

None.

---

## 5.2.G

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

### **Answer:**

Low - to be dealt with in the next 6 years

### **Notes:**

This indicator does not call for short-term actions for improvement on IRD's part considering what is already in place.

---

## 5.3 Contracting and Contract Negotiation capacity

### Attachments

None

#### 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:**

Yes we currently have informal practices in place but they aren’t explicitly written down

**Notes:**

None.

---

#### 5.3.B

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

**Answer:**

No

**Notes:**

None.

---

#### 5.3.C

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

**Answer:**

Yes

**Notes:**

None.

### 5.3.D

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

**Answer:**

The contracting and contract negotiation capacity of the partners are assessed during the construction of the project, together with the other aspects.

**Notes:**

None.

---

### 5.3.E

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

**Answer:**

No short-term measure was identified.

**Notes:**

None.

---

### 5.3.F

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

**Answer:**

Low – to be dealt with in the next 6 years

**Notes:**

This indicator does not call for short-term actions for improvement on IRD's part considering what is already in place.

---

# Domain 2

## **Fair Process**

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



## Topic 6: Minimising Negative Impact of Research Programmes on Systems

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

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

#### Examples include:

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

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

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

#### Existing Solution(s)

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

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

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

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

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

## 6.1 Assessing potential or actual harm of research.

### Attachments

Partnership Research Mechanism Application Form – JEAI, LMI, etc. (EN)

#### 6.1.A

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

#### Answer:

##### 1 - ASSESSING POTENTIAL HARM OF RESEARCH

- A long-term, close collaboration with partners that allows for a good knowledge of national research systems (at institutional and individual levels) and a constant dialogue at each level. This commitment makes IRD unique and is intended to help reduce the risks of negative effects on national research systems. The new CPSS mechanism in IRD's foreign representations and the development of dialogue with various stakeholders at the civil society level locally help strengthen this approach.
- The CCERP (Advisory Ethics Committee for Research in Partnership) is an IRD internal ethics committee that can be consulted by project leaders and the Institute's governing bodies to obtain an ethical opinion on research protocols. Part of the CCERP's mission is to identify risks of negative impacts of research programmes on local systems and to advise on how to prevent them if necessary. It also makes recommendations to project leaders on improving research protocols and eliminating these impacts.

##### 2 - REDUCING NEGATIVE IMPACT OF RESEARCH

- Each mechanism is designed with specific attention not to cut beneficiaries from their national system, and not to encourage "brain drain".

Aligning salaries of locally recruited staff and grants allocated to doctoral students with salary levels of their countries so as not to create imbalance.

While encouraging student and researcher mobility from partner countries to research labs in France (IRD also promotes South/South mobility) through numerous support mechanisms (Research Grant for PhD in the South - ARTS), doctoral and post-doctoral contracts, grants for continuing education, etc., IRD ensures that such mobility remains of a short period of time.

In the case of ARTS PhD grants (see topic 11), local structures are asked for their opinion on the relevance of research subjects to be funded. The goal of this approach is to facilitate integration or even hiring of grant recipients in a local institution at the end of their doctoral contract. Furthermore, in order to promote

local employability, part of the thesis must be carried out in the doctoral student's home country (students may not spend more than 6 months per year in France).

In the framework of the JEAI, IRD researchers are associated with the curricula offered by partner institutions involving JEAI members so as not to destabilise or have an impact on teaching structures.

- Project selection processes within the framework of research partnerships such as JEAI, LMI, GDRI-Sud, PSF or research staff mobility require the opinion of the heads of foreign partner structures and local IRD representations. The monitoring of projects mobilises expert committees appointed by both IRD and partner institutions, which are best suited to identify undesirable effects on national research and education systems and to alert partners if necessary.

### 3- COMPENSATION FOR UNINTENDED (NEGATIVE) CONSEQUENCES OF RESEARCH

-----

#### Notes:

None.

---

#### 6.1.B

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

#### Answer:

Yes we have a formal (written) policy in place

#### Notes:

None.

---

#### 6.1.C

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

#### Answer:

Yes

#### Notes:

The following actions do not aim at 'formalising' our practices per se, but to complement what is already implemented.

---

#### 6.1.D

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

**Answer:**

Yes

**Notes:**

None.

---

#### 6.1.E

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

**Answer:**

None.

**Notes:**

None.

---

#### 6.1.F

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

**Answer:**

1. Promote a new approach to project impact assessment by multiplying ex-post evaluations of partnership research schemes on partners' research and education systems.
2. Introduce the notion of potential risks in the methodology on expectations (results and effects, indicator 1.3.3).
3. Train researchers to anticipate and manage risks arising in their projects.

4. Mobilise specialised departments and advisory bodies to support researchers in anticipating and managing risks related to ethics, scientific integrity, deontology, etc.

**Notes:**

None.

---

**6.1.G**

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

**Answer:**

High - to be dealt with in the next 2 years

**Notes:**

None.

---

## 6.2 Reducing negative impact of research

### Attachments

None

#### 6.2.A

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

#### Answer:

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

#### Notes:

None.

---

#### 6.2.B

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

#### Answer:

Yes

#### Notes:

The following actions do not aim to 'formalise' our current practices but rather to complement and strengthen them.

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#### 6.2.C

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

#### Answer:

See the description in 6.1.A

#### Notes:

---

None.

---

### 6.2.D

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

**Answer:**

1. Promote a new approach to project impact assessment by multiplying ex-post evaluations of partnership research schemes on partners' research and education systems.
2. Introduce the notion of potential risks in the methodology on expectations (results and effects, indicator 1.3.3).
3. Train researchers to anticipate and manage risks arising in their projects.
4. Mobilise specialised departments and advisory bodies to support researchers in anticipating and managing risks related to ethics, scientific integrity, deontology, etc.

**Notes:**

None.

---

### 6.2.E

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

**Answer:**

High – to be dealt with in the next 2 years

**Notes:**

None.

---

## 6.3 Compensation for unintended (negative) consequences of research

### Attachments

None

#### 6.3.A

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

#### Answer:

We don't have any policies or practices in place

#### Notes:

None.

---

#### 6.3.B

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

#### Answer:

Yes

#### Notes:

None.

---

#### 6.3.C

Does your organisation involve all partners in this?

#### Answer:

Yes

#### Notes:

None.

---



### 6.3.D

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

**Answer:**

Yes

**Notes:**

None.

---

### 6.3.E

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

**Answer:**

See description in 6.1.A

**Notes:**

None.

---

### 6.3.F

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

**Answer:**

1. Introduce the notion of potential risks in the methodology on expectations (results and effects, indicator 1.3.3).
2. Train researchers to anticipate and manage risks arising in their projects.
3. Mobilise specialised departments and advisory bodies to support researchers in anticipating and managing risks related to ethics, scientific integrity, deontology, etc.

**Notes:**

None.

---

**6.3.G**

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

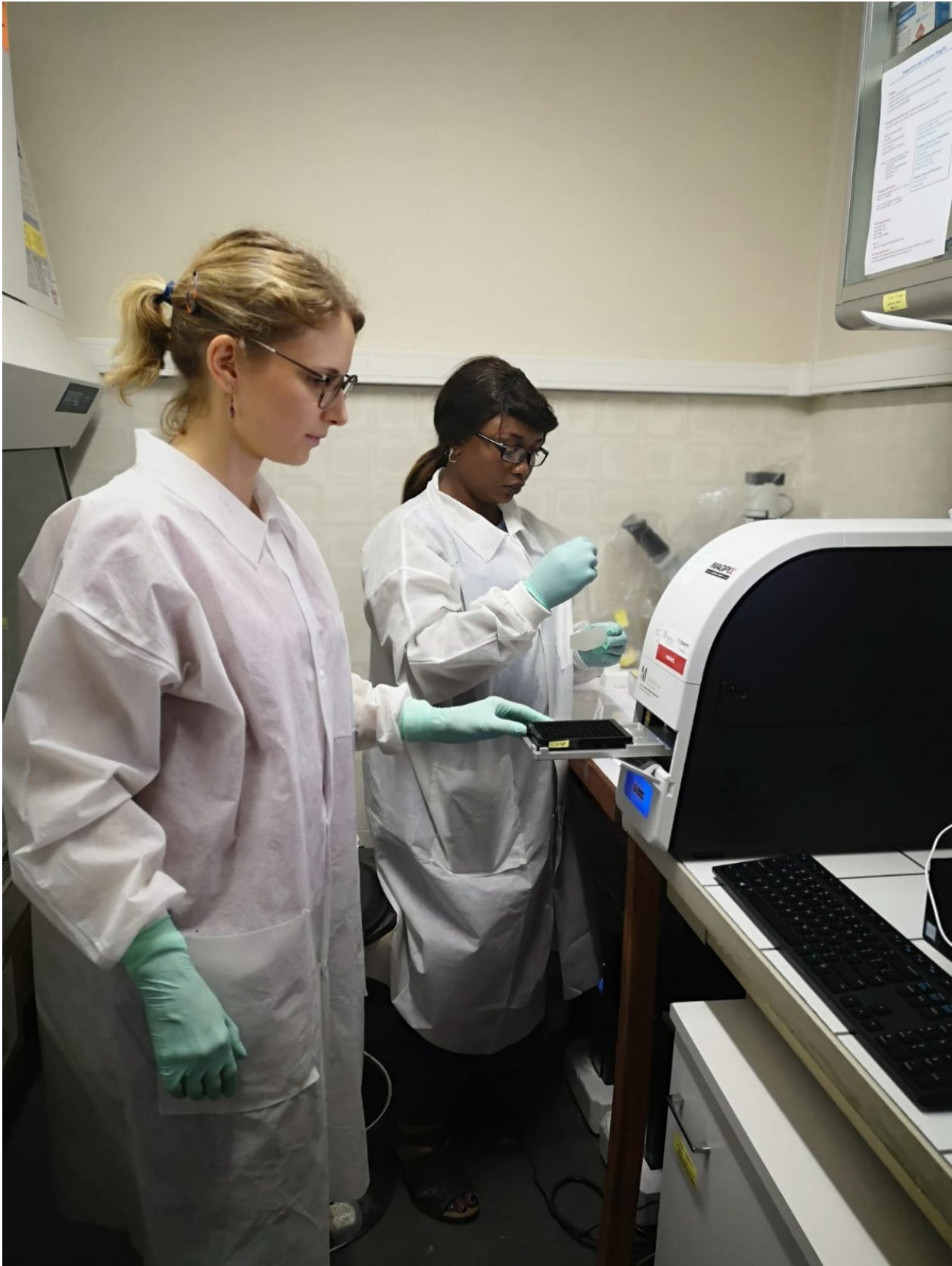
**Answer:**

High - to be dealt with in the next 2 years

**Notes:**

None.

---

**Topic 6**

## Topic 7: Fair Local Hiring, Training and Sourcing

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

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

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

### Definitions

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

### Existing Solution(s)

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

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

## 7.1 Local staffing and sourcing of consumables and services.

### Attachments

Guide for Locally Hired Staff (FR)  
Contract of Objectives 2016-2020

#### 7.1.A

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

#### Answer:

##### 1 - LOCAL STAFFING

- IRD's Priority Objectives Agreement provides for enhancement and better recognition of local employment in support functions in countries where IRD is implanted. In each representation, priority is now given to local recruitment for positions in support functions (administration, accounting, human and legal resources, security, communication and technical support for scientific equipment operation). Within representations, the only IRD agent is the representative (head of the representation).
- Renegotiation of old establishment agreements. Establishment agreements are "intended to adapt general principles of management for locally hired staff (8) to the provisions of local law, whether written, jurisprudential or even customary" (9). These new agreements concern all locally hired staff, either permanent or temporary and regardless of their source of compensation, whether it be from hiring institutions' own resources or public subsidies. Their objective is to simplify, modernise and harmonise management methods by bringing them closer to remuneration systems used by French embassies. All local staff therefore benefit from the same social protection and HR management system, regardless of their status.
- IRD's Guide for Locally Hired Staff specifies that it cannot include provisions that are contrary to local laws or regulations, or to international labor conventions. A Charter for Locally Hired Staff is also currently being validated by IRD governing bodies. The Charter outlines major common HR principles guaranteed by IRD to all staff, and identifies management methods. It will consolidate the progress made by establishment agreements when it is implemented.
- The Human Resources Department (DRH) includes a "HR for the South" mission that ensures close contacts with IRD representations abroad and in French overseas territories. The mission takes part in defining HR policy in the South, deploys the Institute's HR policy in collaboration with teams/missions managed by the HR Department and the IRD network, implements processes and supports all staff.

- Local staff have access to all adaptation or evolution training programmes set up by IRD in France or locally via a distance learning platform developed by IRD.

## 2 - LOCAL SOURCING OF CONSUMABLES AND SERVICES

- The Procurement Action Plan (PAP) calls for "Increasing the share of purchases from host country suppliers". The "volume of purchases allocated to host country companies" is the indicator chosen to monitor the implementation of this action tool. Promoting local procurement is therefore an integral part of IRD's sourcing strategy. In addition, the JEALs (cf. JEAI Grant Decision) incorporate an obligation to give priority to purchases in the country where the project is implemented (exceptions are possible upon justification by the JEAI leader). The purchases made remain the property of partner institutions.
- IRD representations abroad have the legal capacity to carry out purchases locally. They also perform an administrative support function for the execution of purchasing acts for all researchers working in their area of intervention. They especially contribute to defining the purchasing policy at local level (in consultation with IRD's Finance Department), identifying and assessing their needs, identifying the most efficient purchasing strategies, carrying out the necessary studies and preliminary discussions, ensuring compliance with national and local regulations and informing the Finance Department of changes in local purchasing rules, deploying IRD's shared markets in their area, etc. The presence of IRD representations abroad thus favors local procurement of consumables.
- A constrained regulatory framework for purchasing but with some alleviating aspects. As a public institution, IRD is subject to the French Public Procurement Code. Purchases made abroad are therefore subject to mandatory provisions for advertising, formalities and competition. However, such provisions are less stringent than the rules of the French Public Procurement Code and are adapted to the contexts of IRD's areas of intervention. The objective is to guarantee transparency and ethics in procurement procedures as well as to boost and facilitate the access of local suppliers to IRD contracts. Purchasing Decision n°007726 of 31/08/2020 explains current internal regulations regarding the organisation of purchases and methods of enforcement of IRD public procurement documents. It indicates thresholds of competence for each representation and terms of competition (deadline, content of specifications).

## 3 - SUPPORT FOR LOCAL CAPACITY DEVELOPMENT

- Local staff have access to all adaptation or evolution training programmes set up by IRD in France or locally. IRD is developing its digital platform to facilitate distance learning for staff located far away or less available.

### **Notes:**

(8) According to Article 34.5 from Law 2000-321 of April 12, 2000, staff employed abroad enjoy the status of "locally hired contractual staff" and are referred to as

Locally Hired Staff Personnel (PRP). They operate under the status of contractual employees under local private labor law.

(9) Extract from the Guide to Locally Hired Staff written by IRD.

---

### 7.1.E

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

**Answer:**

Yes

**Notes:**

None.

---

### 7.1.F

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

**Answer:**

See description in 7.1.A, paragraph 3.

**Notes:**

None.

---

### 7.1.G

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

**Answer:**

When projects require and explicitly plan for the recruitment of scientists on a fixed-term basis, give priority to recruitment of skills from the country or from the South rather than from the North (e.g. post-docs, junior researchers seeking employment).

**Notes:**

None.

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**7.1.H**

---

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

**Answer:**

High - to be dealt with in the next 2 years

**Notes:**

None.

---



## 7.2 Support for local capacity development.

### Attachments

None

#### 7.2.A

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

#### Answer:

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

#### Notes:

None.

---

#### 7.2.B

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

#### Answer:

No

#### Notes:

None.

---

#### 7.2.C

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

#### Answer:

See description in 7.1.A

#### Notes:

None.

---

### 7.2.D

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

**Answer:**

1. Unless specifically constrained, encourage teams to use local suppliers as a priority in all agreements or awarding decisions related to research partnerships (LMI, JEAI, etc.).

**Notes:**

None.

---

### 7.2.E

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

**Answer:**

High - to be dealt with in the next 2 years

**Notes:**

None.

---

## Topic 8: Respect for Authority of Local Ethics Review Systems

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

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

### Existing Solution(s)

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

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

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

## 8.1 Research Ethics Approval

### Attachments

Application document for review by the CCERP(FR)

#### 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:

When developing research protocols, IRD researchers must consider international standards, French laws and regulations and those of the countries where research is conducted, as well as those that may be imposed by donors. IRD naturally pays specific attention to the approach implemented by partner countries.

#### 1 - RESEARCH ETHICS APPROVAL

- Principle 4 (Ethics Recommendation, North-South) of the Guide to Good Practices in Research for Development states that an ethics recommendation from the committee of the country in which the research is being conducted must be provided for a project at the time of application for ethics review, in order to avoid ethical dumping. However, the final responsibility for project approval is not explicitly stated. CCERP has made the notice of local ethics committees a condition for reviewing research projects. Although encouraged, the process of contacting local ethics committees is not routinely required by IRD in research collaborations when projects are not submitted to CCERP for review.
- Set up by IRD in 2018, The Ethical Advisory Committee for Research in Partnership (CCERP) has for mission to :
  - develop an ethical reflection around research for development and scientific partnerships with higher education and research systems in the South, in connection with French and European ethical authorities ;
  - ensure close contacts with a network of ethics correspondents in research units in co-supervision with IRD ;
  - ensure close contacts and lead a reflection with ethical committees in countries from the South partnering with IRD.

#### 2 - SUPPORTING LOCAL RESEARCH ETHICS REVIEW CAPACITY

- The report from CCDE's 4th mandate (IRD's previous ethics committee from 2013 to 2018), advocated for closer ties with the growing number of ethics committees in Southern countries where IRD is active, as well as with the international francophone network of bioethics committees. To that end, CCDE organised international seminars or colloquia open to IRD researchers and their partners, such as : "Is there an ethics specific to research for development? "Collège de France,

2005; "Ethics and Science in Globalisation", UNAM, Mexico, 2006; "Responsibility and Sharing in the Humanities and Social Sciences", Dourdan, 2008; "Research Ethics and Sustainable Development: Achievements and Perspectives", Yaoundé, 2009; "The Precautionary Principle and Scientific Research in Southern Countries", Casablanca, 2011; "Ethics and Sustainable Development: Challenges for a world in crisis", Recife, 2013; "Ethics of research for development - environment, societies, health in the Mekong region", Vientiane, 2015; "Multidisciplinary ethical views in Social Sciences, Environment and Health", Conakry 2018.

These events were also an opportunity to share on both global and national issues.

- The last two seminars had a regional dimension (Mekong countries and West Africa) through the involvement of researchers and local ethics committees. A training component on practice and ethics rules was also considered.

### 3 - ENABLING ACCESS TO GLOBAL EXPERTISE

- IRD mobilises both French and foreign experts within its own Ethics Committee as well as within the Inrae-Cirad-Ifremer-IRD Joint Consultative Ethics Committee, with the aim of covering all fields and experiences including the most recent ones, in new situations. If necessary, it may also mobilise additional expertise for new or complex issues. Finally, the Institute can mobilise its expertise to support its partners or direct them towards appropriate expertise.

#### Notes:

None.

---

#### 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:

None.

---

#### 8.1.C

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

#### Answer:

Not applicable

**Notes:**

None.

---

**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

**Notes:**

On this matter, only final responsibility for approval is not explicitly and formally stated.

---

**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

**Notes:**

'International ethics guidelines' are sometimes not clearly stated in IRD policies but all research protocols follow some international standards such as rules related to the Nagoya Protocol.

---

**8.1.F**

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

**Answer:**

None.

**Notes:**

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None.

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### 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 to increasing respect for local ethics review of research in which your organisation is a partner?

**Answer:**

1. Encourage researchers to mobilize local ethics committees.
2. Establish exchanges between CCERP and local ethics committees.
3. Strengthen information and exchange with local committees, for example by:
  - creating an online library or database for the use of local committees;
  - resuming the organisation of regular thematic conferences.

**Notes:**

None.

---

### 8.1.H

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

**Answer:**

High - to be dealt with in the next 2 years

**Notes:**

None.

---

## 8.2 Supporting local Research Ethics Review capacity

### Attachments

None

#### 8.2.A

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

**Answer:**

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

**Notes:**

None.

---

#### 8.2.B

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

**Answer:**

Yes

**Notes:**

None.

---

#### 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:**

Yes

**Notes:**

None.



### 8.2.D

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

**Answer:**

See description in 8.2.A

**Notes:**

None.

---

### 8.2.E

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

**Answer:**

1. Strengthen information and exchange with local committees, for example by:
  - creating an online library or database for the use of local committees;
  - resuming the organisation of regular thematic conferences.

**Notes:**

None.

---

### 8.2.F

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

**Answer:**

High - to be dealt with in the next 2 years

**Notes:**

None.

---

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

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

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

### Existing Solution(s)

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

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

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

## 9.1 Data Ownership and Accessibility Agreements.

### Attachments

Research Collaboration Agreement Template

#### 9.1.A

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

#### Answer:

IRD is fully committed to current international principles and regulations on intellectual property rights that have been integrated into its framework documents and mechanisms. IRD's action follows several paths at the same time:

- The integration of specific clauses in its research agreements. Article 7 of IRD's Guide to Good Practices in Research for Development stipulates that those major principles will be mentioned and made explicit in all research projects;
- Material transfer agreements;
- Standardised methods for collecting and processing personal data;
- The implementation of principles of Open Science (Cf. Open Science Roadmap, 2021).

#### 1 - DATA OWNERSHIP AGREEMENTS

- Drafting of specific clauses in IRD research agreements (research collaboration contracts, framework agreements for scientific and technical cooperation, LMI creation agreements, etc.).

In this area, IRD relies on the French legislation to qualify the data. Its mechanism considers both the parties' own knowledge (personal data, genetic data, secret defense data, data with intellectual property rights, etc.) and the various types of data obtained from research results or developed by the parties within the contract framework (all information, knowledge, procedures, technologies including skills, software, biological material, diagrams, chemical compounds and/or any other type of information, whatever its nature and medium, as well as all related rights).

Article 11 of IRD's Research Collaboration Contract template sets out the rules that apply on data ownership and data use.

IRD refers to the Nagoya Protocol as the legal framework for provisions related to access to biodiversity, and the fair and equitable sharing of benefits arising from the use of genetic resources and associated traditional knowledge. Whenever we access, use, distribute or benefit from a biological resource or associated traditional knowledge anywhere, the access and sharing of benefits (APA) regulations defined by countries providing such resources or knowledge must be applied. IRD's work on APA is guided by four main principles and strives to be rigorous, pragmatic and ambitious: Respect for laws and regulations; Respect for the spirit of APA; Efficiency

and pragmatism; Contribution to the fundamental objectives of APA.

The rules of intellectual property (see also Domain 3) apply to data obtained through research collaboration. Each joint owner party may use the results freely and without charge for their own further research purposes, including in collaboration with third parties, but excluding any direct or indirect commercial exploitation. In case of commercial exploitation, the contract template provides for parties to meet and determine terms of financial returns by mutual agreement (addendums or suspensive conditions are included in collaboration contracts). The rights are fixed in proportion to the financial, intellectual and material contributions of each party (or by default in equal shares between the partners). Co-owners of research results may enter into simple or exclusive licence contracts for the industrial or commercial exploitation of results with third parties, under the conditions set by co-ownership regulations previously established in collaboration agreements. In the absence of these co-ownership regulations and as long as financial terms have not been established, none of the co-owners shall be able to undertake such exploitation.

In this context, IRD endeavours to obtain authorisations from competent national authorities and/or suppliers of genetic resources before each application agreement, in compliance with national laws and international treaties.

- A Nagoya committee has been set up within IRD with the main mission to support researchers in their APA efforts, raise awareness and train the research community on those issues. It has also developed IRD's institutional policy on the subject. The committee is led by a scientific advisor and a Nagoya/Ethics officer and uniquely operates under joint supervision of both researchers and IRD support departments. As APA is a new and evolving subject, the committee must keep a legal watch and participate in current debates on the international scene, notably on the possible integration of the notion of DSI (Digital Sequence Information on genetic resources) within APA.
- Respect for privacy and protection of personal data. IRD is subject to all provisions related to the protection of personal data provided for by legislation and regulatory documents applicable in France (General Regulation on the Protection of Personal Data - RGPD - 2016/679 from 17 April 2016 and the amended Data Protection Act) and by European Union law, including European Parliament and Council Regulation (EU) 2016/679 from 27 April 2016.

Since May 25, 2018, the General Data Protection Regulation (GDPR) has been the new European framework of reference for personal data protection. It aims to better protect the personal data of European citizens while imposing additional obligations on public and private organisations that collect, store, exchange or transfer such data. In the course of its missions, IRD handles personal data from its agents, suppliers, visitors, etc.

As part of its compliance efforts with the GDPR, IRD has appointed a Personal Data Delegate in charge of monitoring personal data issues with researchers, agents,

suppliers or visitors (compliance, keeping a processing register, drafting clause templates...).

Each project lists the collected personal data, the required legal basis and the purposes of the project. Within this framework, each contract (collaboration, service, subcontracting...) benefits from clauses related to the implementation of the GDPR (see the agreement template for the creation of an International Joint Laboratory (LMI) in the attached document list).

## 2 - EQUIPMENT TRANSFER AGREEMENTS

- Deployment of Equipment Transfer Agreements. One of IRD's missions is to share its genetic resources and biological material to the benefit of the international scientific community. IRD may also receive such resources from its partners. IRD systematically uses Equipment Transfer Agreements and Data Sharing Agreements to guarantee confidentiality for the transfer for itself and its partners, the retention of ownership of equipment and/or data and non-liability in case of misuse. The regulations applicable to the transported equipment may differ according to their nature (whether human samples, genetic resources, international legislation...). IRD uses its own Equipment Transfer Agreement template that includes clauses relating to compliance with the Nagoya Protocol (see Article 12).

## 3 - RIGHTS OF USE OF DATA FOR PUBLICATION

- Statement of rules regarding the publication of results in contract templates. See, for example, Article 7 of the Agreement on Scientific and Technical Cooperation template.
- Implementation of the principles of Open Science supported by France and the European Union and support for free access to information and knowledge sharing (data). Indeed, by promoting the sharing of and free access to digital data and metadata resulting from research, the development of Open Science principles facilitates interdisciplinarity and thus constitutes one of the contributing tools for the achievement of Sustainable Development Goals. At the same time, the dissemination of scientific information and the sharing of knowledge contribute to strengthening the skills of non-scientific communities who are also actors of development. Open Science is thus positioned as one of the fundamental pillars of sustainability science and is materialised through several actions. IRD has set up a specific roadmap in 2021 to formalise its action on this issue.

Application of the PSI guidelines (Public Sector Information, Guideline n° 2013/37/EU) (10) and the CADA law (Commission for Access to Administrative Documents, law n°78-753 of July 17, 1978, modified) (11) according to which data resulting from research activities funded at least for half by allocations from a Public Establishment, the State, local authorities, subsidies from national funding agencies or by the European Union are assimilated to "administrative documents". As soon as such activities are considered complete (in particular after a first voluntary publication, such as a scientific publication) and if they do not fall within the scope

of legal exceptions, the data must be communicable to anyone who requests it and must be freely re-usable.

Application of the Law for a Digital Republic (October 7, 2016) (12), which aims to strengthen the openness and circulation of public data. The latest implementing decree of the Law for a Digital Republic on the general framework for public data openness has expanded the scope of administrative documents which can be communicated as open data. Enforced since October 7, 2018, the principle of open data has established the obligation for local communities with a population of more than 3,500 and administrations with more than 50 agents, to publish online both their databases and data which publication is of economic, social, health or environmental interest (see article 30 of the law).

When making data freely available, IRD applies and promotes the principles of the FAIR Initiative (Findable Accessible Interoperable Reusable) initially launched by the Force 11 organisation, which brings together communities of academics, librarians, archivists, publishers and research donors. The goal of the FAIR principles is to promote Findable, Accessible, Interoperable and Reusable shared data. In order to further take into account the environmental impact of the data produced, stored and reused by science, IRD is also committed to adding the principle of sustainability to these principles: Findable, Accessible, Interoperable, Reusable, Sustainable (FAIRS).

In 2019, IRD notably took part in writing the "Declaration for the sharing and opening of research data for sustainable development" (13). The main principles set out in this declaration concern: good data management, data valorisation and involvement of all sharing participants, and data governance.

Accompanying researchers in the drafting of Data Management Plans (DMP), which are increasingly required by donors for each research project. A DMP is a formalised document preferably drafted at the start of a research project, that describes how data will be produced or obtained, (re)used, processed, organised, stored, secured, preserved, documented, and shared in the course of and at the end of a project, including how it will be made available. The aim of this document is to encourage the implementation of good management practices at all stages of the data life cycle. For this purpose, IRD has set up a working group and relies on the DmpOpidor tool provided by NISTI (National Institute for Scientific and Technical Information). DMPs integrate a set of recommendations linked to the specificities of IRD, the principles of which are stated in the "Charter for the Valorisation, Sharing and Dissemination of Research Results at IRD".

Inclusion of a commitment to strengthen the skills and capacities of IRD partner institutions in developing countries in the Institute's 2016-2030 Strategic Orientation Plan (SOP), particularly in terms of dissemination and open access to scientific information (creation of open archives, digitisation of scientific document collections, referencing of publications, etc.).

Inclusion of the development of digital technology for science and development in IRD's 2019-2023 Digital Master Plan, with the aim of providing tools and strengthening open science in the South.

The creation of the DataSuds data warehouse has offered IRD scientists and their partners a service to disseminate, preserve and promote their research data by facilitating their identification and citation. It enables the saving, organising and sharing of datasets from organisations, research groups, researchers or data managers.

The DataSuds data warehouse complements 'Horizon Pleins textes', an online bibliographic database created in 1996 by IRD. This database enables free access to publications by IRD researchers or those associated with IRD, if such documents are free of rights. With more than 8,000 documents downloaded per day, the DataSuds digital collection is widely disseminated throughout the world, and particularly in developing countries which account for nearly 70% of downloads. Horizon Pleins textes was awarded the the CollEx label at the end of 2017, which is a collection of excellence for research, for a renewable five-year period (2018-2022).

### Notes:

(10) <https://eur-lex.europa.eu/legal-content/FR/TXT/PDF/?uri=CELEX:32019L1024&rid=4>

(11) <https://www.cada.fr/connaitre-la-loi-cada>

(12) <https://www.legifrance.gouv.fr/jorf/id/JORFTEXT000033202746/>

(13) This declaration was co-constructed and approved by participants of the international colloquium "Open Science in the South: stakes and perspectives for a new dynamic" organised in Dakar in 2019 by Cheikh Anta Diop University, CIRAD and IRD. This conference brought together more than 150 representatives of research and development institutions as well as scientific information and research data stakeholders from 16 different countries. <https://dmp.opidor.fr/>

### 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:

None.

**9.1.C**

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

**Answer:**

Not applicable

**Notes:**

None.

---

**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:**

Yes

**Notes:**

None.

---

**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

**Notes:**

None.

---

**9.1.F**

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



**Answer:**

- Data License Agreement Template (FR)

<https://data.ird.fr/cadre-juridique/>

- Open Science Roadmap (FR)

<https://www.ird.fr/une-feuille-de-route-pour-une-science-ouverte-et-partagee>

- Statement on Sharing and Openness of Research Data for Development (FR)

[www.ouvrirlascience.fr/declaration-pour-le-partage-et-louverture-des-donnees-de-la-recherche-pour-le-developpement-durable/](http://www.ouvrirlascience.fr/declaration-pour-le-partage-et-louverture-des-donnees-de-la-recherche-pour-le-developpement-durable/)

**Notes:**

None.

---

**9.1.G**

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

**Answer:**

1. Implement the open science roadmap.

**Notes:**

None.

---

**9.1.H**

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

**Answer:**

High – to be dealt with in the next 2 years

**Notes:**

None.

---

## 9.2 Material Transfer Agreements

### Attachments

Equipment Transfer Agreement Template

#### 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:**

Yes we have a formal (written) policy in place

**Notes:**

None.

---

#### 9.2.B

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

**Answer:**

Not applicable

**Notes:**

None.

---

#### 9.2.C

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

**Answer:**

Yes

**Notes:**

None.

---

### 9.2.D

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

**Answer:**

None.

**Notes:**

None.

---

### 9.2.E

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

**Answer:**

1. Support the use of equipment transfer agreements.

**Notes:**

None.

---

### 9.2.F

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

**Answer:**

High - to be dealt with in the next 2 years

**Notes:**

None.

---

## Topic 10: Encouraging Full Cost Recovery Budgeting and Compensation

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

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

### Definitions

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

### Existing Solution(s)

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

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

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

## 10.1 Full Cost Recovery Budgeting

### Attachments

Equipment Transfer Agreement Template  
UMR Creation Agreement Template (FR)

#### 10.1.A

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

#### Answer:

##### 1 - FULL COST RECOVERY BUDGETING

The absence of cost accounting makes it impossible to know the amount of indirect costs allocated to projects. In fact, there is no single approach to evaluating indirect costs.

Regarding projects which are funded externally, indirect costs are often applied by research donors as a percentage of the total available grant amount. Without any indication from donors, IRD applies an internally defined rate that is valid for all projects.

For projects funded by IRD, such as JEAI, LMI, GDRI-Sud and PSF, "feasibility of the project and coherence of the budget" is a selection criterium on its own. IRD requests project leaders to establish a provisional budget which takes into account operating costs. LMI creation agreements therefore explain that "Infrastructure expenses are accounted for in financial contributions to the operation of a Party's LMI, after agreement by all Parties on their nature and amount". This ensures that provisional budgets cover all total costs. Regarding JEAI and PSFs, if partner institutions directly manage funds allocated to their teams, management costs are funded up to a maximum of 10% of the presented budget. Support for budgeting is offered by research partnership coordinators during the project set-up and implementation phases.

##### 2 - IMPROVING/STANDARDISING BUDGETING

- IRD is subject to French public accounting regulations in financial matters, which apply regardless of the contracts or donors. They set the accounting rules to be applied in terms of incomes and expenses. At the same time, IRD takes into account financial regulations complied with by any donor, particularly regarding the eligibility or ineligibility of expenses.
- When large-scale projects involve several partners via funding transfer contracts, these contracts include the same clauses as the contract between the donor and the project leader. Partners then have to provide both a scientific report and a

financial report for which supporting documents may be requested by IRD, and also by the donor for certain contracts.

- IRD has decentralised its partnership support functions within examination departments close to research units (Partnership and Research Contracts Department (PRCD) and Regional Department for Innovation and Valorisation (RDIV)). These departments are dedicated to supporting researchers regarding the administrative, legal and financial aspects of projects. Qualified units accompany project leaders in the elaboration of their provisional budget and check that the expenses they wish to incur are eligible according to the rules applied by donors and IRD.

In order to check the conformity of projects' financial set-ups and, among other things, to check that provisional budgets cover all total costs, project leaders must fill out a financial evaluation form. This form is then reviewed by examination services. Furthermore, financial and scientific contract annexes (agreements, collaboration contracts, etc.), describe how and when the funds may be used.

### 3 - EXTERNAL FINANCIAL AUDIT

Not used

#### **Notes:**

None.

---

#### **10.1.B**

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

#### **Answer:**

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

#### **Notes:**

None.

---

#### **10.1.C**

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

#### **Answer:**

Yes

**Notes:**

None.

---

**10.1.D**

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

**Answer:**

- Terms of Reference for Research Partnership Mechanisms (FR)  
[www.ird.fr/sites/ird\\_fr/files/2021-06/TDR\\_PSF\\_Vfinale.pdf](http://www.ird.fr/sites/ird_fr/files/2021-06/TDR_PSF_Vfinale.pdf)

- Partnership Research Mechanism Application Form – JEAI, LMI, etc. (FR)  
[www.ird.fr/sites/ird\\_fr/files/2021-06/Formulaire%20de%20candidature\\_PSF\\_Version%20en%20ligne\\_2021.pdf](http://www.ird.fr/sites/ird_fr/files/2021-06/Formulaire%20de%20candidature_PSF_Version%20en%20ligne_2021.pdf)

- LMI Creation Agreement Template  
<https://en.ird.fr/international-joint-laboratories-lmi>

**Notes:**

None.

---

**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 of partners in research collaborations?

**Answer:**

1. Encourage project leaders from IRD and partner institutions to adopt the international budgeting standards used by major donors.

**Notes:**

None.

---

**10.1.F**

---

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

**Answer:**

High - to be dealt with in the next 2 years

**Notes:**

None.

---



## 10.2 Improving/Standardising Budgeting

### Attachments

None

#### 10.2.A

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

**Answer:**

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

**Notes:**

None.

---

#### 10.2.B

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

**Answer:**

No

**Notes:**

None.

---

#### 10.2.C

Does your organisation prescribe or recommend international research budgeting guidelines?

**Answer:**

Yes

**Notes:**

None.

---

**10.2.D**

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

**Answer:**

No

**Notes:**

None.

---

**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

**Notes:**

None.

---

**10.2.F**

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

**Answer:**

No

**Notes:**

None.

---

**10.2.G**

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

**Answer:**

In order to check the conformity of projects' financial set-ups and, among other things, to check that provisional budgets cover all total costs, project leaders must fill out a financial evaluation form. This form is then reviewed by examination services. Furthermore, financial and scientific contract annexes (agreements, collaboration contracts, etc.), describe how and when the funds may be used.

**Notes:**

None.

---

**10.2.H**

What steps does your organisation intend to take in the next one or two years to improve its policy and practice to ensure competency and standardization of research budgeting in all partners in research collaborations?

**Answer:**

1. Encourage project leaders from IRD and partner institutions to adopt the international budgeting standards used by major donors.

**Notes:**

None.

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**10.2.I**

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

**Answer:**

High - to be dealt with in the next 2 years

**Notes:**

None.

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# Domain 3

## **Fair Sharing of Benefits, Costs & Outcomes**

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

## Topic 11: Research System Capacities

### Why is 'Research System Capacities' a Reporting Topic?

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

### Definitions

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

### Research system capacity

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

### Existing Solution(s)

There is a wealth of literature on research capacity building, and some on evaluation<sup>44</sup>. Much of this focuses on training of individuals rather than on increasing research system performance. Some publications are available through the RFI Website resource page: <http://rfi.cohred.org/relevant-source-documents-papers-books-and-websites/>

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

## 11.1 Training

### Attachments

Strategic plan (FR)

#### 11.1.A

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

#### Answer:

##### 1 - TRAINING

- Research capacity building is one of IRD's statutory missions (Article 2 of Decree n°84-430 from June 5, 1984 on IRD's organisation and functioning), which is intrinsically common to all of the Institute's activities. This mission is based on the conviction that development depends on recognised local scientific communities that are open to societal issues.

Adopted by IRD on July 1, 2016, the Strategic Orientation Plan 2016-2030 reaffirms and specifies that "The primary mission of IRD - and therefore of its network abroad and in French overseas territories - is to contribute through research to the emergence, strengthening and empowerment of scientific communities and higher education and research systems while helping to meet the needs of populations."

Thus, principles n°8 (Allocated resources : Scientific, Human, Technical), 11 (Equal Access to Technology) and 13 (Opening up and International Networks) of the Guide to Good Practices in Research for Development drafted by IRD's Consultative Committee on Ethics and Professional Conduct (CCDE), as well as points 2 and 3 of the Charter of Research for Development Partnerships - a charter annexed to all framework agreements signed with partners - encourage the implementation of capacity building actions within both IRD and partner organisations. Such actions are always integrated into partnership research projects or mechanisms, where they may take different forms.

- IRD supports the training of researchers from developing countries throughout their careers. This support may be implemented in an individual format (ARTS PhD grants, mobility grants and hosting for limited stays within research lab in France, supervision or field exchanges). Normally dedicated to the Institute's staff, IRD's continuing education service may also take responsibility for Southern partners within the framework of its internal group training activities, and under certain conditions.

Support for training may also take a collective approach. Each year, IRD researchers and their counterparts from developing countries organise numerous research

training sessions. These short training cycles enable students, researchers, teachers-researchers and engineers/technicians from the South to improve their skills in the practice of research and focus on scientific and/or technical skills (use of software, research methodologies, instrumentation, etc.). Such actions constitute a tool for structuring project teams, most often in the framework of a multidisciplinary approach. This format also makes it possible to compare methods and approaches, including by associating non-academic actors, and to reinforce the attractiveness of training schemes when sessions are linked to degree programs. Indirectly, it is also a means of encouraging cooperation on a sub-regional, regional and even international scale via school networks. For example, a training session on soils was organised at the « Campus de l'Innovation » site in Bondy, France, in partnership with the Institute for Higher Studies in Sustainable Development (Institut des Hautes Études du Développement Durable, IHEDD), the Foundation for Studies and Research on International Development (Fondation pour les Études et Recherches sur le Développement International, FERDI) and the Academic Agency for Francophony (Agence Universitaire de la Francophonie, AUF).

- IRD facilitates the exchange of good research practices in research. The article “Ethical recommendations for ocean observation” (14), cites the experimental program PIRATA (15) (Prediction and Research Moored Array in the Tropical Atlantic) as an example of the application of good research practices involving IRD research teams. In addition, within the framework of the European project AtlantOS in which IRD participated, a platform for sharing best practices related to the acquisition, processing and qualification of oceanographic data has been established and made available to all (<https://www.oceanbestpractices.org/>) (16).
- IRD facilitates access to scientific information. It opens its documentary resources (scientific journals, bibliographic databases, etc.) for a fee to its partners, in particular to young researchers from the South (PhD students, post-doctoral fellows and members of young associated teams - JEAI, etc.) under certain conditions.

The Institute implements a policy of open access to publications and data through its digital libraries (Horizon full text and Hal-IRD publication portals, DataSuds data warehouse, and the "mediatheque", a search engine for all of IRD's digitised production: publications, photos, maps, films, etc.). It also offers its partners the possibility to host and enhance their digital collections through the BEEP server (Bibliothèques Electroniques en Partenariat, Online Partnership Libraries), in operation since 2010.

- IRD contributes to institutional capacity building in the South. By mobilising expertise and funding, IRD plays a central role in several initiatives aiming to improve the quality of degree programmes (Master's and PhD programmes). Whether at Master's or PhD level, the supported training programmes are designed to be strongly research-based and connected to their corresponding professional sector, in order to improve matching between training, employment and development of the sector in close coordination with French and European universities. Several mechanisms are at play :
  - Structuring Training Projects (PSF): a training mechanism co-sponsored by IRD

laboratories and universities in the South. It includes a support component for both Southern higher education and research institutions (masters, doctoral schools and colleges) as well as for research teams and groups (research training programs, cross-disciplinary workshops, production of digital resources). IRD supports PSF project leaders by providing co-funding amounting to € 10,000 per year for 3 years and support for setting up and sustaining the project.

- Support for the creation or revision of Master's degrees. Each year, IRD researchers are involved in numerous Master's degree programmes hosted by Southern universities, as teachers or even as training coordinators. IRD's Department for Capacity Building in the South offers partner teaching staff in the South and IRD researchers a wide range of support, from training and educational engineering to the mobilisation of experts, including assistance in finding partners and/or co-funding.

- Support for doctoral training in the South. Each year, IRD supports about a hundred PhD students from the South who are co-supervised by IRD researchers, through the ARTS (Allocations de Recherche pour une Thèse au Sud, Research Grants for a Thesis in the South) programme. This programme is aimed at students from developing countries who possess a Master's degree (or equivalent), and who are preparing a PhD in the framework of an existing partnership between an IRD research unit and partners from the South. The ARTS program supported 802 PhD students between 1999 and 2020.

At the same time, IRD supports Southern universities in improving the teaching and research environment offered to PhD students through the structuring of doctoral ecosystems. This action aims to consolidate the scientific environment of PhD theses by connecting them with existing research partnership mechanisms, and by encouraging the involvement of non-academic actors in the formulation and conduct of research. For example, a workshop organised in Tuléar (Madagascar) within the framework of the "MIANATRA" project linked to the University of Tuléa's Master's degree in Marine Sciences, has enabled the creation of synergies with the University of Antananarivo's "Public Economics and Environment" programme. This was achieved with the broader aim of strengthening training in the field of fisheries science in Madagascar.

- All IRD's research partnerships are particularly conducive to the implementation of individual and collective strengthening actions. IRD's Young Associated Teams (JEI) program is undoubtedly the most emblematic, as it aims at structuring teams but is often further supported by individual or collective training. The JEI program aims at the emergence or strengthening of research teams from Southern countries in the framework of scientific partnerships with IRD research units. Its goal is to enable a group of researchers from the South to form a team through the implementation of a research and research training project. In close collaboration with an IRD research unit, the project should serve as a catalyst for the supported JEI to become a strong and recognised team in its field. Such partnership aims to facilitate the integration of young teams of scientists in national and international scientific networks. A JEI research team is made up of at least three researchers from the South, based in a Southern country, associated with an IRD research unit, on a research topic related to major relevant societal, health or environmental issues,



and benefiting from a favorable institutional environment. Between 2002 and 2020, 165 JEALs were funded with more than 40 countries from the South involved, and 40 projects were underway in 2020. Each JEAL receives financial support depending on project needs. The maximum amount granted is € 50,000 over 3 years to finance operating costs, small equipment, local and international missions, participation in conferences and possible publication costs.

- IRD is also a partner in large-scale training projects that aim to strengthen research capacities in Southern countries, such as the Sud Expert Plantes Développement Durable (SEP2D) program and the ACE PARTNER project. The Sud Expert Plantes Développement Durable (SEP2D) program is a multi-actor development support and international cooperation program implemented in 22 French-speaking countries from the intertropical zone. Led by IRD, the program supports projects as well as training through several components (partnerships with the private sector, academic and applied research, support to collections) in Southern countries.

The ACE PARTNER project is a continuation of the ACE Impact project, launched in Africa by the World Bank and AFD in 2014 to address training and research needs in 12 countries. The current project aims to create four major networks around 44 centers of excellence. IRD is piloting three of the four networks: "hydrology and sustainable water management", "mines and environment" and "infectious diseases". The project allows for the establishment of academic and scientific partnerships with French institutions (schools and universities) and research centers within some of the best African institutions.

- In conjunction with these research and training partnerships, digital tools can be used to support the evolution of teaching practices (in the context of massification) or to facilitate the perpetuation of established training programmes. IRD co-creates digital resources with its partners. These may be free digital resources (MOOCs (17), educational sequences shared on virtual university libraries) or intended for a specific and restricted audience. The resources produced can also take the shape of complete training courses or teaching aids, intended to be integrated into a blended online and "offline" teaching course. IRD researchers and partner institutions provide scientific expertise and support departments help coordinate the production of resources.

In addition, IRD supports Southern universities by offering training on new educational practices related to digital technologies.

## 2 - RESEARCH MANAGEMENT

In addition to research training courses, IRD organises crosscutting workshops aimed at helping researchers and teaching-researchers in the South to improve their skills in areas that are now essential to the profession, such as fundraising, team management and communication. Indirectly, these crosscutting workshops also aim at facilitating meetings and exchanges between researchers working on various topics and coming mostly from neighbouring regions. The guiding principles of these events are to "learn from and with the other" while "shifting focus from one's own

way of working and thinking". Over 250 partner scientists have participated in these workshops since 2011.

IRD is starting to set up "training of trainers" sessions on different subjects (e.g. in 2019, on writing scientific articles) aiming to enable trained partner scientists to become trainers themselves in one field and thus amplify the appropriation and impact of such workshops. In 2021, this mode of action will be repeated focusing on a topic that is also a priority for Southern academic and scientific partners, namely setting up projects for fundraising. The goal is to implement one training session per year and then follow up on the pools of new trainers.

### 3.11.3 INCREASE (PREDICTABLE) FUNDING

Cf 3.11.2

#### **Notes:**

(14) Barbier, M., Reitz, A., Pabortsava, K., Wölfl, A. C., Hahn, T., & Whoriskey, F. (2018). Ethical recommendations for ocean observation. *Advances in Geosciences*, 45, 343-361

(15) <https://www.brest.ird.fr/pirata/pirata.php>

(16) A summary of the project is available on the following article : <https://doi.org/10.3389/fmars.2019.00277>.

(17) IRD participated in the creation of a MOOC that offers keys to understanding the 17 Sustainable Development Goals (SDGs) and their interactions, and presents initiatives and experiences to achieve them. In 2019, this MOOC was awarded the "MOOC of the Year" in the "Best MOOC designed by a university/school" category.

### **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:**

None.

### 11.1.C

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

**Answer:**

Yes

**Notes:**

In this cas, formalisation of our practices and policies focuses mainly and young and femal scientists. there are formal policies already in place but they are quite new and need to be further implemented.

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### 11.1.D

Does your organisation have criteria to determine these priorities?

**Answer:**

Yes

**Notes:**

None.

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### 11.1.E

Does your organisation specify requirements or budget allocations for training?

**Answer:**

Yes

**Notes:**

None.

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### 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

**Notes:**

None.

---

**11.1.G**

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

**Answer:**

- Decree n°84-430 of June 5, 1984 on the organisation and functioning of IRD (FR)  
[www.legifrance.gouv.fr/loda/id/JORFTEXT000000699018/](http://www.legifrance.gouv.fr/loda/id/JORFTEXT000000699018/)

- Partnership Research Mechanisms Presentation Brochure  
<https://en.ird.fr/PSFprogram>

**Notes:**

None.

---

**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:**

1. Strengthen the skills of partner research staff in project development within the framework of project selection processes (for example, by setting up a feedback system for various partnership research mechanisms, for those whose projects have not been retained during the selection process).

2. Strengthen training and support for young and female scientists.

**Notes:**

None.

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**11.1.1**

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

**Answer:**

High - to be dealt with in the next 2 years

**Notes:**

None.

---

## 11.2 Increase (Predictable) Funding.

### Attachments

None

### 11.2.A

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

#### Answer:

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

#### Notes:

None.

---

### 11.2.B

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

#### Answer:

No

#### Notes:

None.

---

### 11.2.C

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

#### Answer:

See description in 11.2.A

#### Notes:

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None.

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### 11.2.D

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

**Answer:**

No short-term action was identified.

**Notes:**

None.

---

### 11.2.E

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

**Answer:**

Low – to be dealt with in the next 6 years

**Notes:**

This indicator does not call for short-term actions for improvement on IRD's part considering what is already in place.

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# Topic 11





## Topic 12: Intellectual Property Rights and Tech Transfer

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

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

### Existing Solution(s)

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

## 12.1 Technology Transfer

### Attachments

Terms of Reference for Research Partnership Mechanisms (FR)

Charter for the valorisation, sharing and dissemination of research results (FR)

#### 12.1.A

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

#### Answer:

##### 1 - TECHNOLOGY TRANSFER

One of the axes of IRD's Strategic Orientation Plan 2016-2030 explicitly states the need to "Promote research and innovation for sustainable and human development in response to our partners' expectations, in a coordinated manner coherent with our diplomatic action". From this strategic axis stems one of the 9 priority goals of IRD, particularly related to the present topic in the RFI report: "Amplify the economic, social and cultural valorisation of research to the benefit of populations from developing countries and make responsible innovation a priority".

In this context, technology transfer is an option that is regularly implemented. Transfers are formalised in the framework of specific agreements.

In cases where research is concerned by the Nagoya Protocol, technology transfers are favoured as a non-monetary method of sharing and are specified in MATs (Mutually Agreed Terms) upstream of projects.

##### SHARING INTELLECTUAL PROPERTY RIGHTS (IPR)

- The 2016-2020 Contract of Objectives and Performance (COP) posed the issue of intellectual property as a challenge to set an example (ambition n°3): "Putting research for development at the service of training, knowledge sharing and responsible innovation". After 10 years of a "quantitative policy" of protection, leading to the constitution of a patent portfolio that is costly to maintain, not very valuable and in some cases "risky" regarding the evolution of international regulations, particularly with the adoption of the Nagoya protocol, IRD adopted a renewed strategy for intellectual property and partnerships during the Board of Directors meeting of December 2018. This strategy aims to reconcile the free dissemination of knowledge resulting from partnership research with the need to protect certain results to enable the development of new products or services while maintaining control on their access.

- The drafting of the Charter for valorisation, sharing and dissemination of research results has made it possible to reconcile different strategic frameworks:

- valorisation through appropriation (intellectual property rights),
- valorisation through free access (open science),
- valorisation through the institutional production of Commons (shared database, FAIRization of data, GNU licences, creative commons, etc.).

With societal issues in mind, the goal was not to oppose these tools but to combine their mobilisation, in order to offer equitable valorisation that favours the use of IRD's research results.

In situations where contradictory research interests may arise or where responsibility is not clearly defined, the Charter has also enabled IRD to be in a position to deliver concerted arbitrations with partners on the use, dissemination and valorisation of these results. To this end, procedures, processes and frameworks have already been set up, and will continue to be implemented regarding : data management plan team, valorisation committee, sharing and dissemination committee, Nagoya committee, new invention report, etc...

- Regarding the issue of intellectual property rights in research collaborations, the Guide to Good Practices in Research for Development states as principle n°7 that:
  - IRD refers to the main international principles in place concerning intellectual property rights.
  - Clauses related to the sharing of intellectual property rights are systematically included in contractual agreements. They determine the share of each partner in intellectual, material and financial contributions, and set out the terms and conditions for managing intellectual property. They further regulate the conditions of valorisation and exploitation.
  - The clause on intellectual property in both research contract models as well as co-ownership rules mentions discussions with partners regarding the sharing of IPR.
- In case of a plan for valorisation or technology transfer, intellectual property rights are shared between parties under a specific contract and according to provisions jointly agreed upon. Before any valorisation of results and formalisation of a piece of intellectual property, IRD teams systematically review past contractual documents in order to ensure that all co-owners of the results are recognised. In case innovations may produce a real economic or industrial impact or have an influence on the achievement of SDGs, IRD can hand IPR over to partners or start-ups in return for a financial compensation from revenues resulting from the commercialisation of new products or services, soon as innovations enter a manufacturing and commercialisation process.

IRD favors non-exclusive licences so as not to hinder the development of subsequent partnerships with other partners. An exclusive right of exploitation may only be granted to a partner after its strengths, its willingness to develop, its leadership in the concerned sector and the specificities of the market are analysed. IRD only grants exclusive licences exceptionally, which remain limited in time, space and on a predefined field of exploitation. These concession contracts must be made with the primary aim to help development in Southern countries and must fall in line with one or more of the SDGs. With regards to health products for example, IRD is

committed to: guaranteeing access to such products; selling them at production cost; granting sub-licences to Southern countries; not filing patents and not asking for royalties in low-income countries; not taking legal action for counterfeiting for the production of generics in low-income countries, unless they result in health issues.

## 2 - CONTRACTING SUPPORT FOR IPR

- In terms of contracting support, IRD hosts competent departments that define the best strategy for drafting intellectual property clauses and negotiating co-ownership agreements, namely the legal department and the department in charge of innovation and valorisation.

A committee for the protection, sharing and dissemination of the Institute's inventions has also been set up to validate financial decisions and commitments and verify that partners are taken into account, whether they are direct inventors or not. This committee brings its insight and makes decisions regarding the formalisation of intellectual property. It brings together experts in intellectual property, Nagoya committee points of contact, and experts in the field of valorisation in different research areas to validate the proper trajectory of projects associated with intellectual property assets. A IRD-CCERP representative from the South as well as IRD's Director of Science and the Director General of the Institute also take part in this committee.

The Institute also implements training on Access to Genetic Resources and Fair and Equitable Sharing of Benefits Arising from their Utilisation (APA) both internally and to the benefit of partners. Intellectual property is one of the topics addressed during such trainings.

### **Notes:**

None.

---

### **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:**

None.

---

### 12.1.C

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

**Answer:**

Not applicable

**Notes:**

None.

---

### 12.1.D

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

**Answer:**

- Example of a Training Course on APA (FR)

[www.ird.fr/node/8673/](http://www.ird.fr/node/8673/)

**Notes:**

None.

---

### 12.1.E

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

**Answer:**

No short-term measure was identified.

**Notes:**

None.

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### 12.1.F

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

**Answer:**

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Low - to be dealt with in the next 6 years

**Notes:**

This indicator does not call for short-term actions for improvement on IRD's part considering what is already in place.

---

## 12.2 Sharing Intellectual Property Rights

### Attachments

None

#### 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:

None.

---

#### 12.2.B

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

#### Answer:

No

#### Notes:

None.

---

#### 12.2.C

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

#### Answer:

See description in 12.1.A

#### Notes:

None.

---

---

**12.2.D**

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

**Answer:**

No short-term measure was identified.

**Notes:**

None.

---

**12.2.E**

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

**Answer:**

Low - to be dealt with in the next 6 years

**Notes:**

This indicator does not call for short-term actions for improvement on IRD's part considering what is already in place.

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## 12.3 Contracting Support for IPR

### Attachments

Terms of Reference for Research Partnership Mechanisms (FR)

#### 12.3.A

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

**Answer:**

Yes we have a formal (written) policy in place

**Notes:**

None.

---

#### 12.3.B

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

**Answer:**

No

**Notes:**

None.

---

#### 12.3.C

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

**Answer:**

None.

**Notes:**

None.

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**12.3.D**

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

**Answer:**

No short-term measure was identified.

**Notes:**

None.

---

**12.3.E**

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

**Answer:**

Low - to be dealt with in the next 6 years

**Notes:**

This indicator does not call for short-term actions for improvement on IRD's part considering what is already in place.

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## Topic 13: Innovation System Capacities

### Why is 'Innovation System Capacities' a Reporting Topic?

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

### Existing Solution(s)

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

Refer to increasing impact evaluations of 'innovation hubs'.

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

## 13.1 Ensuring Socio-Economic benefits for Local Communities

### Attachments

Charter for the valorisation, sharing and dissemination of research results (FR)  
 Research Collaboration Agreement Template  
 Terms of Reference for Research Partnership Mechanisms (FR)  
 GDRI Sud Program description (FR)

### 13.1.A

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

#### Answer:

One of the axes of IRD's 2016-2030 Strategic Orientation Plan explicitly states the need to "Promote research and innovation for sustainable and human development, in response to our partners' expectations, in a coordinated manner coherent with our diplomatic action". From this strategic axis stems one of the 9 priority goals of IRD, particularly related to the present topic in the RFI report: "Amplify the economic, social and cultural valorisation of research to the benefit of populations from developing countries and make responsible innovation a priority".

In this sense, IRD is committed to collaborating with all public and private actors mobilised on sustainable development issues, and to supporting their involvement and their capacities.

#### 1 - LOCALISING INNOVATION

- IRD is at the starting point of several programmes implementing multi-actor approaches to bring out innovative high-impact solutions from research that meet the needs of the South, such as the Food Security CoLAB programme. Launched in 2017 by IRD, MakeSense and Bond'innov, the Food Security CoLAB programme is the first multi-actor collaborative laboratory for responsible innovation. This project has brought together more than 500 participants (researchers, NGOs, social entrepreneurs, public institutions...) around collective intelligence and project co-construction workshops, on the topic of food security in Burkina Faso, Ivory Coast and Senegal. The Food Security CoLAB programme has supported the co-construction of 10 innovative projects in 2 years.

The Institute has also created the "Innovation Campuses for the Planet", the first one of which was set up in Ile-de-France in 2016. By linking research results with civil society actors, the "Innovation Campuses" aim to create conditions for responsible innovation for the benefit of societies in both the South and the North, and for two-way North-South and South-South dialogue. "Innovation Campuses" are

open spaces where research is carried out in partnership with social and economic actors in order to respond to societal challenges, thanks to each stakeholder's skills and expertise. It is a space for research, training and experimentation, where new educational approaches are tested and where creative and collaborative tools are made available to support the emergence and development of innovative projects. Similar initiatives have been implemented in partner countries such as Burkina Faso and Senegal. In addition, this model serves as an example in Morocco where a strengthened cooperation between the Ile-de-France Innovation Campus and Mohammed V University's City of Innovation, which aims to develop innovation and valorisation capacities.

## 2 - FINANCING TO LINK RESEARCH WITH INNOVATION

- In 2016, a seed fund was set up at IRD with the goal to support valorisation projects in partnership at a very early stage. Among other things, the "Innovation" component of the seed fund aims at strengthening the social impact of research and local actors' economic development by supporting researchers in terms of co-creation, professionalisation and visibility improvement for developed products and services. For projects with a potential to possess commercial value, impact roadmaps are generally prepared by both a valorisation officer and a researcher. The 'South' aspect is at the heart of this approach. For example, in 2019, the "Innovation" component of IRD's seed fund enabled support for a project aiming at helping manage irrigation using satellite remote sensing in partnership with Cadi Ayyad University in Marrakech and Mohammed VI Polytechnic University.

## 3 - SUPPORT INNOVATION CULTURE

- IRD develops actions to strengthen partners' innovation capacities through specific training, either when a support request is made and/or by accompanying their applications to calls for projects from various donors : Europe (Europaid for strengthening research and innovation ecosystems in ACP countries), AFD (Debt Relief Fund - AMRUGE program), embassies (FSPI mechanism), PIA (AMI overseas).
- Among initiatives led by IRD which are part of the same dynamic, the Bond'innov association plays a leading role in the development of innovation capacities (<https://bondinnov.com/>). Partly founded by IRD, this organisation is dedicated to supporting innovative business creation projects based on the valorisation of research or innovation. It supports innovative projects located in Seine-Saint-Denis (a district outside Paris) or in Southern countries and particularly in Africa.

### Notes:

None.

**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:**

None.

---

**13.1.C**

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

**Answer:**

Yes

**Notes:**

None.

---

**13.1.D**

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

**Answer:**

- Terms of Reference for Research Partnership Mechanisms (FR)  
[www.ird.fr/sites/ird\\_fr/files/2021-06/TDR\\_PSF\\_Vfinale.pdf](http://www.ird.fr/sites/ird_fr/files/2021-06/TDR_PSF_Vfinale.pdf)

- Brochure : A Committed Science for Sustainable Development Goals at IRD (FR)  
[www.ird.fr/lird-une-science-engagee-pour-les-objectifs-de-developpement-durable](http://www.ird.fr/lird-une-science-engagee-pour-les-objectifs-de-developpement-durable)

**Notes:**

None.

---

### 13.1.E

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

**Answer:**

1. Strengthen links with valorisation departments hosted in partner institutions/ countries.
2. Implement the Charter for Innovation and Sharing.

**Notes:**

None.

---

### 13.1.F

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

**Answer:**

High - to be dealt with in the next 2 years

**Notes:**

None.

---

## 13.2 Support Innovation Culture

### Attachments

None

### 13.2.A

Financial support for innovation?

**Answer:**

Yes we have a formal (written) policy in place

**Notes:**

None.

---

### 13.2.B

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

**Answer:**

Not applicable

**Notes:**

None.

---

### 13.2.C

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

**Answer:**

Yes we have a formal (written) policy in place

**Notes:**

None.

---



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**13.2.D**

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

**Answer:**

Not applicable

**Notes:**

None.

---

**13.2.E**

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

**Answer:**

See description in 13.1.A

**Notes:**

None.

---

**13.2.F**

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

**Answer:**

1. Implement the Charter for Innovation and Sharing.

**Notes:**

None.

---

**13.2.G**

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

**Answer:**

High - to be dealt with in the next 2 years

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**Notes:**

None.

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## Topic 14: Due Diligence

### Why is 'Due Diligence' a Reporting Topic?

Excellent research requires excellent research institutions, which in turn can be boosted by a system conducive to research and innovation. Inadequate provision for minimising the environmental, social and cultural impact of research and innovation activities may limit future research opportunities of institutions or countries. Similarly, positive actions should be reflected upon and adopted whilst conducting research, such as following and implementing the Sustainable Development Goals (SDGs) and encouraging women's participation in science.

### Existing Solution(s)

Conduct a pre-research assessment to identify key areas on environmental impact in the context of the research that is being contemplated. Create a plan that addresses these environmental, social and cultural concerns without detracting from the primary research purpose and without (unreasonable) increase in project costs<sup>52</sup>. Refer to national and international guidelines stimulating the equal participation of women in science.

## 14.1 Achieving International Development Goals.

### Attachments

Action Plan for the Promotion of Gender Equality (FR)  
Environmental Roadmap (FR)

#### 14.1.A

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

#### Answer:

##### 1 - PROMOTING PARTICIPATION OF WOMEN IN SCIENCE AND INNOVATION

- IRD is committed to promoting women's role research for development. IRD's commitment is based on its 2021-2023 Action Plan covering the following areas: equal access to jobs and grades, equality in career development, a better balance between professional and private life, equal pay, prevention and resolution of situations of sexist and/or sexual violence and harassment.

The Plan also includes provisions regarding IRD's presence and research in the South, notably better taking into account gender in research topics, protocols and organisation. IRD is committed to carrying advocacy for gender equality forward in its partnerships with various national communities. Its Action Plan calls for the mobilisation of IRD teams and representations abroad and in French overseas territories for that purpose.

The Institute also adopted a Charter for Professional Equality between Women and Men in 2013. This commitment is also reflected in point 6 of IRD's Charter for Partnership in Research for Development : « Actively promote the participation of women in all research and development actions, from their conceptualisation to their valorisation, as well as in representation and advisory bodies ».

In 2019, IRD obtained the HRS4R label (Human Resources Strategy for Researchers). This label is granted by the European Commission and notably aims to encourage the implementation of actions to achieve professional equality between women and men.

##### 2 - NEGATIVE ENVIRONMENTAL IMPACT

- IRD has developed an environmental roadmap. In 2011, as a public institution, IRD committed to respecting the Charter of Public Institutions and Companies for Sustainable Development. This commitment has since led to several decisions :  
- First, IRD is obligated to conduct a strategic reflection on sustainable development and to account for the social, environmental and economic consequences of its

activities, to translate this reflection into IRD's mode of operation, to develop a strategic document, and finally to pilot an action plan. Principles 5 and 6 of the Guide to Good Practices of Research for Development demonstrate IRD's commitment to reducing the environmental impact of its research.

- Second, in the context of its partnerships with the South, IRD carries the French government's 20 commitments for ecoresponsible public services (Prime Minister's circular of February 25, 2020) which offer a broadened approach (covering finance, procurement, energy saving, sustainable mobility, preservation of biodiversity, etc.) and encourage the promotion of ecoresponsible behaviours by agents from any administration, through a "participatory approach for local project facilitation and enhancement". In this logic, the attention paid by research teams to the way they contain the environmental impact of their activities is taken into account during the JEA selection process (Young Teams Associated with IRD), one of IRD's main partnership mechanisms. Since 2019, the IRD has assumed an institutional steering function on the environment through its Mission for Quality, Health, Safety and Environment (MQSSE).

- Third, to structure this dynamic and support local approaches, an environmental roadmap was validated in June 2020 by IRD's Board of Directors. It provides for 5 major orientations: a plan and a policy for responsible travels and missions; a controlled digital strategy; a rethought and energy-optimised use of facilities; responsible purchase limited to the strictest needs; exemplary science of sustainability. This roadmap is intended to be continuously updated through cross-cutting and multidisciplinary work, bringing together different stakeholders at all levels within the Institute in a participatory approach.

### 3 - ACHIEVING SDGS

- Contribution to the achievement of the Sustainable Development Goals (SDGs) : Associated with critical analysis, IRD's priorities are incorporated into the implementation of the Sustainable Development Goals (SDGs) adopted by the United Nations in September 2015. The Institute's ambition is to guide development policies and respond to major challenges related to global, environmental, economic, social and cultural changes that affect the entire planet. IRD governing bodies have made these objectives the backbone of the Institute's scientific policy (18).

This commitment is reflected both in IRD's 2016-2030 Strategic Orientation Plan and 2016-2020 Contract of Objectives and Performance (COP). The latter specifies that "To this end, IRD intends to promote interdisciplinary and intersectoral scientific approaches around the SDGs, paying particular attention to interdependent links, but also to possible contradictions, between some SDGs that may be raised during their implementation." In this framework, IRD created the Structuring Interdisciplinary Partnership Programmes (PSIP), a tool for reflection and assistance in strategic programming which evolved into Communities of Knowledge (CoSav) (19) in 2021. These communities are based on the mobilisation of a wide spectrum of scientific expertise put to the service of an interdisciplinary approach to the SDGs. They are based on three major global challenges that are strongly interrelated: climate disruption and environmental changes directly or indirectly

associated with it; imbalance linked to the worsening of social inequalities between and within countries; and the need to achieve sustainable consumption and production to address the natural resources crisis occurring on a global scale.

Through its previous CEO, IRD was involved in drafting the Global Report on Sustainable Development (GSDR) presented at the United Nations Summit on Sustainable Development in September 2019. This report highlighted the importance of sustainability science in achieving the 17 Sustainable Development Goals. In 2020, IRD's current CEO appointed a Deputy Director for Science, who is in charge of Sustainability Science.

Between July 2019 and February 2020, a cycle of workshops was organised in order to set up initial actions for the deployment of Science of Sustainability principles, as well as to allow for appropriation of the issues and obstacles to such deployment by researchers and IRD partners. These workshops were conceived in a multi-stakeholder (users, decision-makers, scientists) and multi-level (local, national, regional, international) format in order to initiate a debate on the cohabitation of science and knowledge. They brought together more than 160 participants from 12 different countries and representing the academic worlds of both the North (IRD, INRAE, I-Site Muse) and the South (ACEs, UAM-Niger, UCAD-Senegal, UFBH-Côte d'Ivoire, etc.), national institutions and ministries, regional organisations (ACMAD, etc.), international organisations (UNEP, UNCCD, IUCN, Future Earth, etc.), civil society (CARI, AgriSud, etc.), the private sector and the development community (ADB, AFD, JICA, etc.). Several PSIPs were mobilised during the organisation of the workshops, which had as a main goal interactions between different SDGs targets.

During the second semester of 2020, IRD governing bodies asked PSIP leaders to reflect on the PSIP programme (current situation, vision, roadmap for future actions). At the same time, a participatory reflection gathered about 60 IRD agents in key positions (heads of services and departments, research units, representatives, researchers) around the evolution of PSIP. At the beginning of 2021, nine scientific advisors were appointed by the CEO to propose nine major multidisciplinary challenges at the heart of IRD's strategic issues to the Institute's governing bodies. These challenges are : georesources and sustainability, sustainable cities, coasts and oceans, "one health", biodiversity, soils and lands, sustainable food systems, climate change, and migrations. Inherited from the PSIPs, the Communities of Knowledge (CoSav) were set up in 2021 with the ambition to provide responses to these major challenges, through a collective learning and intelligence process and the emergence of federating projects around the Science of Sustainability. Each CoSav is collaboratively building its roadmap to define issues based on targeted societal challenges, priority topics to be addressed and actions to be implemented in the next two years (2022-2023).

### **Notes:**

(18) [www.ird.fr/science-de-la-durabilite-priorite-de-la-gouvernance-de-lird](http://www.ird.fr/science-de-la-durabilite-priorite-de-la-gouvernance-de-lird)

(19) [www.ird.fr/les-communautés-de-savoirs-cosav](http://www.ird.fr/les-communautés-de-savoirs-cosav)

**14.1.B**

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

**Answer:**

Yes we have a formal (written) policy in place

**Notes:**

None.

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**14.1.C**

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

**Answer:**

Not applicable

**Notes:**

None.

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**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:**

See 14.1.A for a description of gender and environmental guidelines.

**Notes:**

None.

---

**14.1.E**

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

**Answer:**

- Presentation of CoSav (FR)  
[www.ird.fr/les-communautes-de-savoirs-cosav](http://www.ird.fr/les-communautes-de-savoirs-cosav)

**Notes:**

None.

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**14.1.F**

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

**Answer:**

1. Reflect on an ex-post evaluation of IRD's contribution to the achievement of the SDGs.
2. Facilitate the appropriation of international agendas by researchers and research units.

**Notes:**

None.

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**14.1.G**

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

**Answer:**

High - to be dealt with in the next 2 years

**Notes:**

None.

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## 14.2 Negative environmental impact

### Attachments

Environmental Roadmap (FR)

#### 14.2.A

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

**Answer:**

Yes we have a formal (written) policy in place

**Notes:**

None.

---

#### 14.2.B

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

**Answer:**

Yes

**Notes:**

None.

---

#### 14.2.C

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

**Answer:**

None.

**Notes:**

None.

---

**14.2.D**

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

**Answer:**

1. Mobilise and equip researchers on this new issue, and implement indicators in evaluation frameworks (gender, environment, ...).
2. Mobilise project selection and ex-post evaluation committees or bodies on taking into account the environmental impact of projects.

**Notes:**

None.

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**14.2.E**

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

**Answer:**

High - to be dealt with in the next 2 years

**Notes:**

None.

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### 14.3 Promoting participation of women in science and innovation.

#### Attachments

Action Plan for the Promotion of Gender Equality (FR)

#### 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:

None.

---

#### 14.3.B

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

#### Answer:

Yes

#### Notes:

None.

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#### 14.3.C

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

#### Answer:

See description of guidelines in 14.1.A

#### Notes:

None.

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**14.3.D**

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

**Answer:**

None.

**Notes:**

None.

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**14.3.E**

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

**Answer:**

1. Mobilise project selection and ex-post evaluation committees or bodies on taking into account gender diversity in project organisation, implementation and management.
2. Mobilise and equip researchers on this new issue, and implement indicators in evaluation frameworks (gender, environment, ...).

**Notes:**

None.

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**14.3.F**

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

**Answer:**

High - to be dealt with in the next 2 years

**Notes:**

None.

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

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

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

### **Existing Solution(s)**

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

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

## 15.1 Partner Requirements for Fair Research Partnerships

### Attachments

Charter on Research Partnership for Development (FR)

#### 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 partnership practice in research collaboration.

#### Answer:

##### 1 - PARTNER REQUIREMENTS FOR FAIR RESEARCH PARTNERSHIPS

IRD has implemented practices and tools which enable it to ensure the quality of contract implementation and encourage adherence to fair and ethical collaborative practices by its partners.

- The Charter for Partnership in Research for Development is attached to all framework agreements signed with partners, and thus IRD requires all collaborators to adhere to these principles. Although not legally enforceable, this document conveys IRD's partnership ethics. A strong tool for the promotion of partnership research ethics, this charter was established in May 2012 in close consultation with Southern partners. Throughout 10 principles, it exposes the universal values of ethics in partnerships with Southern countries.
- The Guide to Good Practices in Research for Development (available on IRD's website) was written by IRD's Consultative Committee on Ethics and Professional Conduct (CCDE) in 2012 and updated in 2018. The aim was to provide broad guidelines on ethical issues in order to facilitate the application of ethical rules in the field of research and help professionals better reflect on ethical issues raised by their activities. The good practices presented in the guide are designed to help research teams answer specific questions.

##### 2 - SPONSOR REQUIREMENTS FOR FAIR RESEARCH PARTNERSHIPS

- IRD promotes the principles of equitable research with donors with whom it works, but does not impose anything in most cases. IRD's Ethics Committee (CCERP) can be mobilised to express an opinion on possible risks linked to donor rules or practices.

##### 3 - FAIR RESEARCH CONTRACTING

- Some IRD research teams are contributing to the development of good partnership research practices in specific areas. For example, the article "From texts to enacting practices: defining fair and equitable research principles for plant genetic resources in West Africa" (20) co-published by IRD, describes a reflection held on principles of

fairness and equity which should be respected in collaborative research projects focusing on plant genetic resources.

- IRD has a global policy for the administration of research funds. The Institute mobilises several dedicated services, at headquarters, in regional IRD centers and abroad. Research unit managers are regularly trained to existing tools.

**Notes:**

(20) Jankowski, F., Louafi, S., Kane, N. A., Diol, M., Camara, A. D., Pham, J. L., ... & Barnaud, A. (2020). From texts to enacting practices: defining fair and equitable research principles for plant genetic resources in West Africa. *Agriculture and Human Values*, 1-12.

**15.1.B**

Does your organisation have policies or practices in place which require its the following 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:**

Yes we have a formal (written) policy in place

**Notes:**

None.

**15.1.C**

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

**Answer:**

None.

**Notes:**

None.

**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:**

Yes we have a formal (written) policy in place

**Notes:**

IRD does not 'require' any adhesion to fair partnership principles from its partners but disseminates its guidelines and strongly encourages partners and sponsors to do so.

---

**15.1.E**

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

**Answer:**

Not applicable

**Notes:**

None.

---

**15.1.F**

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

**Answer:**

None.

**Notes:**

None.

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### 15.1.G

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

**Answer:**

1. Share equitable and ethical practices.
2. Present the issues, objectives and tools related to good practices in equitable partnership at IRD to competition laureates.

**Notes:**

None.

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### 15.1.H

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

**Answer:**

High - to be dealt with in the next 2 years

**Notes:**

None.

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

### Attachments

None

### 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:

None.

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### 15.2.B

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

#### Answer:

Yes

#### Notes:

None.

---

### 15.2.C

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

#### Answer:

None.

#### Notes:

None.

### 15.2.D

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

**Answer:**

1. Communicate on the existing COHRED Fair Research Contracting (FRC) (21) tool and the Lambert Toolkit ([www.cohred.org/frc](http://www.cohred.org/frc)) (22)

(21) <https://www.cohred.org/frc/>

(22) <https://www.gov.uk/guidance/university-and-business-collaboration-agreements-lambert-toolkit>

**Notes:**

None.

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### 15.2.E

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

**Answer:**

High - to be dealt with in the next 2 years

**Notes:**

None.

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## Summary of Short Term actions for IRD

Build a methodological framework, allowing the researchers to formalise types of expected or possible impacts or contributions of their research projects (on local communities, research systems, the environment, at the society level, etc.) as well as mechanisms or vectors involved. (topic 3)

Promote a new approach to project impact assessment by multiplying ex-post evaluations of partnership research schemes on partners' research and education systems (topic 6)

Mobilise specialised departments and advisory bodies to support researchers in anticipating and managing risks related to ethics, scientific integrity, deontology, etc. (topic 6.)

Strengthen information and exchange with local committees, for example by 1) creating an online library or database for the use of local committees; 2) resuming the organisation of regular thematic conferences (topic 8).

Implement the Charter for Innovation and Sharing (topic 13)

Present the issues, objectives and tools related to good practices in equitable partnership at IRD to competition laureates (topic 15).

## Report Summary

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### DOMAIN 1: FAIRNESS OF OPPORTUNITY

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#### Topic 1

Relevance to Communities in which Research is done

##### INDICATOR

##### STATUS PRIORITY

1.1 Research priorities in communities where research is being conducted.

Approved High

1.2 Actions if there are no research priorities.

Approved Low

1.3 Justification to research low priority topics.

Approved Low

#### Topic 2

Early Engagement of Partners

##### INDICATOR

##### STATUS PRIORITY

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

Approved Low

2.2 SOPs for supportive actions to partners

Approved Low

**Topic 3**

Making Contributions of Partners Explicit

INDICATOR	STATUS	PRIORITY
3.1 Role clarification in research partnerships	Approved	High
3.2 Making potential beneficial impact explicit before starting research.	Approved	High

**Topic 4**

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

INDICATOR	STATUS	PRIORITY
4.1 Equal co-financing.	Approved	Low
4.2 Alternatives to equal co-financing.	Approved	Low
4.3 Research outside national priorities and co-financing.	Approved	Low

**Topic 5**

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

INDICATOR	STATUS	PRIORITY
5.1 Research Management Capacity	Approved	Low
5.2 Financial Management Capacity	Approved	Low
5.3 Contracting and Contract Negotiation capacity	Approved	Low

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**DOMAIN 2: FAIR PROCESS**


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**Topic 6**

Minimising Negative Impact of Research Programmes on Systems

INDICATOR	STATUS	PRIORITY
6.1 Assessing potential or actual harm of research.	Approved	High
6.2 Reducing negative impact of research	Approved	High
6.3 Compensation for unintended (negative) consequences of research	Approved	High

**Topic 7**

Fair Local Hiring, Training and Sourcing

INDICATOR	STATUS	PRIORITY
7.1 Local staffing and sourcing of consumables and services.	Approved	High
7.2 Support for local capacity development.	Approved	High

**Topic 8**

Respect for Authority of Local Ethics Review Systems

INDICATOR	STATUS	PRIORITY
8.1 Research Ethics Approval	Approved	High
8.2 Supporting local Research Ethics Review capacity	Approved	High

**Topic 9**

Data Ownership, Storage, Access and Use

INDICATOR	STATUS	PRIORITY
9.1 Data Ownership and Accessibility Agreements.	Approved	High
9.2 Material Transfer Agreements	Approved	High

**Topic 10**

Encouraging Full Cost Recovery Budgeting and Compensation

INDICATOR	STATUS	PRIORITY
10.1 Full Cost Recovery Budgeting	Approved	High
10.2 Improving/Standardising Budgeting	Approved	High

**DOMAIN 3: FAIR SHARING OF BENEFITS, COSTS & OUTCOMES****Topic 11**

Research System Capacities

INDICATOR	STATUS	PRIORITY
11.1 Training	Approved	High
11.2 Increase (Predictable) Funding.	Approved	Low

**Topic 12**

Intellectual Property Rights and Tech Transfer

INDICATOR	STATUS	PRIORITY
12.1 Technology Transfer	Approved	Low
12.2 Sharing Intellectual Property Rights	Approved	Low
12.3 Contracting Support for IPR	Approved	Low

**Topic 13**

Innovation System Capacities

INDICATOR	STATUS	PRIORITY
13.1 Ensuring Socio-Economic benefits for Local Communities	Approved	High
13.2 Support Innovation Culture	Approved	High

**Topic 14**

Due Diligence

INDICATOR	STATUS	PRIORITY
14.1 Achieving International Development Goals.	Approved	High
14.2 Negative environmental impact	Approved	High
14.3 Promoting participation of women in science and innovation.	Approved	High

**Topic 15**

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

INDICATOR	STATUS	PRIORITY
15.1 Partner Requirements for Fair Research Partnerships	Approved	High
15.2 Expectations to adhere to accepted or available best practice for responsible research collaborations.	Approved	High