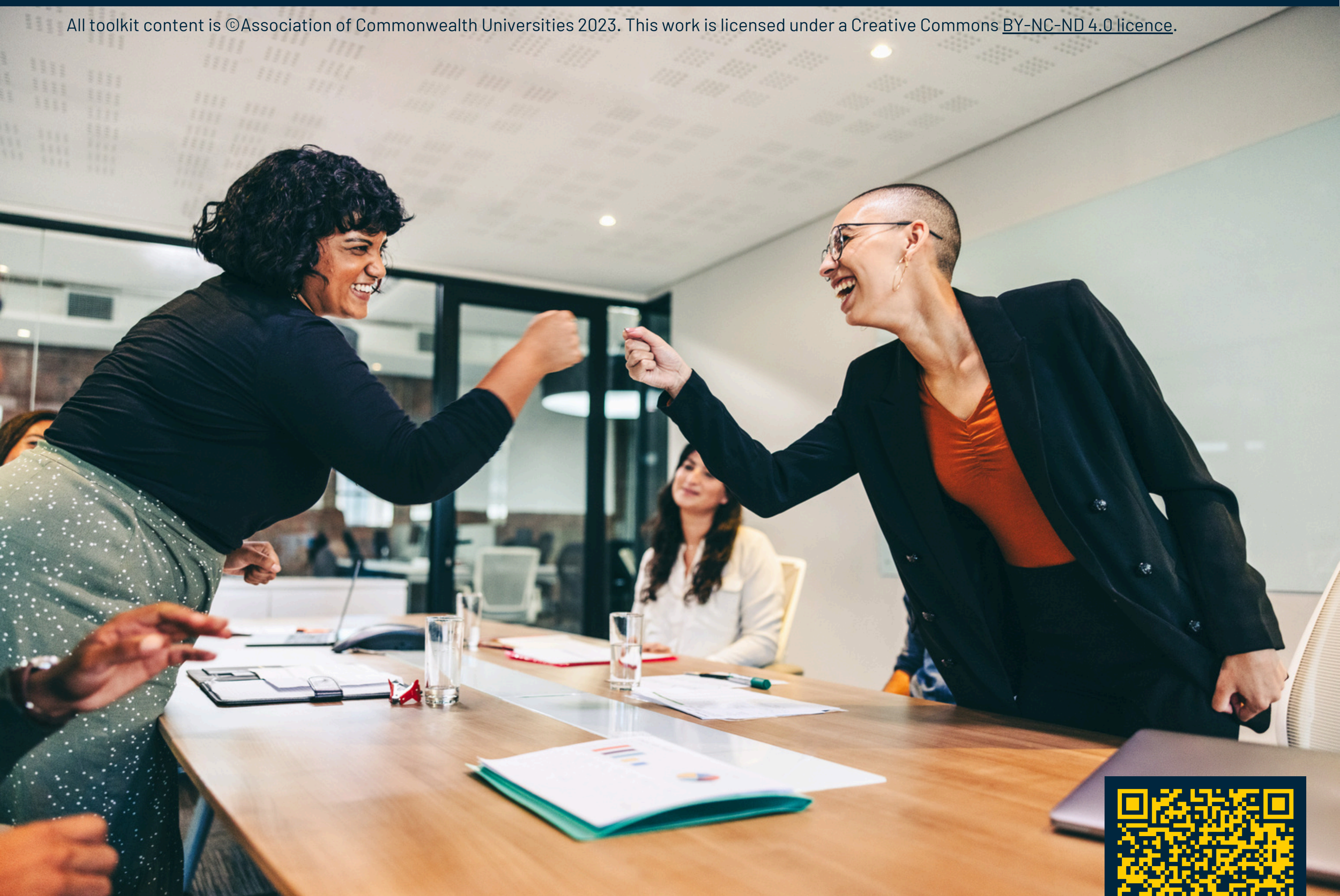
Equitable Research Partnerships Toolkit



Equitable Research Partnerships Toolkit

Background to the Toolkit

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Partnerships of all types have become increasingly popular in higher education, especially since the United Nations embraced the notion in its sustainable development agenda. Universities are increasingly expected to conduct research in collaboration with international partners, as well as utilising other types of partnerships. These alliances can help optimise knowledge creation and impact, strengthen research capacity, and improve the quality and relevance of research.

Numerous research funders, particularly in the United Kingdom, have responded to the United Nations Sustainable Development Goals (SDGs) by creating initiatives to support international research partnerships. Equity is key to these initiatives. If a research relationship is to have maximum impact, it should function on a fair and level playing field.

About the Toolkit

This ACU toolkit is a collection of practical resources to support analysis and action for addressing equity in research partnerships. It is informed by substantial research conducted with a range of equitable research partnership stakeholders and experts.

Read the consultancy report.

The toolkit looks to stimulate critical thinking and dialogue about what equity means, and what it might ‘look like’ in a research partnership, as well as suggesting practical actions that can be implemented to strengthen this. A growing body of guidelines and principles have called for increased equity in research partnerships but have to date provided little advice on how to translate these principles into actions. This toolkit looks to address this. Each tool comes with specific guidance on why, when and how to use it. Every tool is designed to help establish or enhance equity within a research partnership.

Who is the Toolkit for?

The toolkit is designed to be used by all researchers working in partnership. It has a special focus on international (Global North and South) partnerships. However, many of the tools are relevant for other types of partnership in which there are potential inequities between partners (such as multidisciplinary, transdisciplinary, public-private, South-South). The tools may also be adapted to examine equity in terms of characteristics, for example gender or race.

The tools featured here utilise social science methods of generating and organising information. However, you do not need to be a social scientist to use them. Each tool comes with detailed instructions, and many of them include templates for collecting and organising data. The tools are designed to be easily used by researchers with no previous experience of collecting information from people or of partnership equity.

Overview of tools for addressing equity in research partnerships

Section 1: Building understanding and awareness

Building understanding and awareness of how different partners think about equity, as well as the research problem and approach, is an essential foundation for developing an equitable research partnership. The tools in this section are designed to facilitate dialogues that build understanding and awareness of different ways of thinking about equity and the equity implications of different approaches to doing research.

The toolkit includes four tools designed to build understanding and awareness:

Tool 1 - Equity café

Tool 2 - Recognising and assessing assumptions

Tool 3 - Multiple perspectives on equity

Tool 4 - Matrix ranking

Section 2: Stakeholder identification and analysis

Stakeholder analysis tools are designed to help researchers think about the range of individuals and institutions that might participate in a research partnership, as well as how and why they might participate. Stakeholder analysis is an important early step in a research partnership. It may be conducted by a single partner who would like to establish a partnership or an initial group of partners, who wish to identify other possible collaborators or assess the equity of inclusion in the partnership. However, stakeholder analysis is an iterative and ongoing process, that should ideally be conducted regularly, to account for the dynamic nature of partnerships and the contexts in which they are implemented.

The toolkit includes three stakeholder identification and analysis tools:

Tool 5 - Stakeholder assessment

Tool 6 - Partnership power dynamics assessment

Tool 7 - Skills and roles assessment

Section 3: Envisioning, achieving and assessing desired partnership impact

Research is increasingly expected to have a social impact, that is, lead to practical changes. Achieving this impact in Global North and South partnerships is an important part of equity. It encompasses using research results to influence policy and programmes designed to benefit communities in the global South, as well as using the research process to build equitable relations among research partners.

The toolkit includes three impact assessment tools:

Tool 8 - Strengths, Weaknesses, Opportunities and Threats (SWOT) analysis

Tool 9 - Establishing a vision for the partnership

Tool 10 - Imagining and understanding impact

Section 4: Research study - design and implementation

Designing and implementing a study is the core work of a research partnership. The division of roles and responsibilities amongst partners in the design and implementation stage has important equity implications. Some roles, such as designing research methods or analysing and interpreting data, receive greater academic recognition and reward than other roles, such as recruiting participants and collecting data.

The toolkit includes five tools to promote equity in research study design and implementation:

Tool 11 - Emancipatory boundary critique

Tool 12 - Research costing tool

Tool 13 - Field Worker Ethical Reflection Workshops

Tool 14 - Research Partnership Agreement Template

Tool 15 - Intellectual property equity

Section 5: Monitoring, evaluation and learning

Monitoring and evaluation (M&E) are important in research partnerships. However, standard M&E frameworks might focus on the research process and outcomes. For researchers working in partnership, it is important to consciously develop and incorporate mechanisms for monitoring and evaluating the partnership process and its outcomes, and the equity of these.

The toolkit includes two tools i for monitoring and evaluating equity in the partnership:

Tool 16 - Theory of change co-development

Tool 17 - Partnership equity check

Section 6: Checklists

Checklists are tools that can be used to systematically assess progress and minimise the chances that important tasks or features are forgotten. In the research partnerships context, checklists help draw attention to features of a research partnership that influence equity.

The toolkit contains three checklists:

Tool 18 - Actioning the equitable research partnerships code of conduct checklist

Tool 19 - Participation in research checklist

Tool 20 - Partnership checklists for Global North and Global South academics

How to use the toolkit

The toolkit is intended for flexible use by researchers working in different types, and at different stages, of partnerships. Partners can decide which tools to use and when. Different tools will be more and less appropriate for different partnerships. It is unlikely that any partnership will use all the tools. Many research partnerships will only have the resources to implement one or two.

In new partnerships, it might be useful to implement several of the planning tools, for example in a workshop setting. In existing partnerships, it may be better to select the tools that are most applicable to a specific issue, at a specific point in time.

The toolkit is not intended to create extra work. The tools are designed to facilitate systematic, participatory approaches to working on equity. The tools are also designed to create outputs that can be used to support claims of equity in things like funding applications and progress reports.

Many of the tools are designed to be customised by the users. For example, researchers using the tools might be asked to determine the assessment criteria to be used in different tools, or for ideas of questions to be posed in a discussion. Examples and suggestions are always provided, to assist researchers in thinking through how to adapt the tools to the specifics of their partnership.

It is important to use the tools with the awareness that some partners will feel more able to contribute to discussions than others. The intent to foster mutual learning and understanding, and a commitment to enhancing equity, will also go a long way. Creating spaces in which people feel safe and confident to share their ideas and concerns is a prerequisite for using the toolkit effectively. It is also an important step in working towards equity in a research partnership.

Rapid and intensive tool use options

Many of the tools are designed to be used in group settings such as workshops, to promote reflective thinking about equity in different stages of research partnerships, and how inequities might be minimised. However, group meetings are not always feasible, particularly in the early stages of partnership formation, where there may be no funding to cover the costs of examining equity. Many of the tools can be used rapidly by individual researchers or a subset of research partners. Suggestions for rapid and intensive applications of tools are provided.

Face-to-face and virtual options

Most of the tools can be used either in face-to-face or virtual settings. Suggestions are provided for implementing tools using both formats.

How many tools to use

How many tools to use will depend on the characteristics of the research partnership. All of the tools can be used independently of the others. Using a single tool to think about equity in the partnership can be valuable. Using every tool in the toolkit is unlikely to be feasible or valuable.

When to use the tools

The tools are intended to facilitate thinking about equity in four stages of a research partnership.

- Planning
- Implementing
- Disseminating
- Sustaining

Many of the tools can be used at multiple stages of the partnership process. However, the value of using the tools in the planning stage of research cannot be over emphasised. Planning is a key stage for addressing equity because it is normally the stage when important decisions are made about things like roles, responsibilities, study design and data ownership.

Tool 1: Equity Café

What is the tool?

The Equity Café is a dialogue-based tool informed by the World Café Method. The method draws on the metaphor of a café, a space synonymous with friendly and informal, but often creative and critical, conversation. The Equity Café tool is designed to create a space for collaborative but critical discussions about equity, including what equity means and what it might 'look like' within a partnership.

Why use the tool?

The Equity Café is a valuable tool to increase awareness of the different definitions, and ways of thinking about equity, that various members bring to the research partnership. Participating in an Equity Café exercise also helps partnership members get to know each other better and develop the confidence to share their ideas and opinions throughout the partnership.

This tool addresses equity by:

1. creating a 'safe' and friendly space for all partnership members to share perspectives about what equity means and what they think it should 'look like' within the partnership.
2. documenting strategies that will be used to make the research partnership equitable.

When to use this tool?

Phase	Rating	Descriptions
Planning	•••	Equity café is intended to be implemented in the **planning** stage, to develop understanding and plan for how to make a research partnership equitable from the outset.
Implementing	•	The tool could be adapted to focus on equity in the **implementing** stage.

Disseminating	•	The tool could also be adapted to focus on equity in the **disseminating** stage.
Sustaining	••	Equity café could be implemented to evaluate if and how equity was achieved, and/or how equity might be addressed in the future, as a strategy for **sustaining** the research partnership

Ratings
••• Designed for this stage | •• Can be used as is in this stage | •Can be adapted for use in this stage

How long does it take to use the tool?

Rapid approach

- When time is limited, an Equity Café can be conducted rapidly with just one or two short (10-15 minute) rounds of dialogue.
- Equity Café dialogues can also be implemented rapidly during a refreshment break, within a longer meeting or conference.

Intensive approach

- An intensive Equity Café approach requires two-three hours to complete.

Resources- what do you need to use the tool?

- A 'host' to keep track of time and guide the final discussion. **Face-to-face implementation:**
    - A room with enough space to set up café style tables for the number of participants you are expecting.
    - Poster papers, sticky notes, and pens.
    - Refreshments.

Virtual implementation:

- Virtual meeting platform with breakout room facility.
- Online whiteboard app - Miro is easy for most participants to access and use (please note that you will need to create a free account).
  - As an alternative, you could use one of the popular virtual meeting apps (Zoom or Teams for example) and utilise the chat or screensharing functions.

How to use the tool?

Preparation

Determine the equity question(s) and/or issue(s) that will be discussed in the dialogues. See Suggested Questions... section for examples.

Face-to-face implementation / Facilitator Guide

1. Set up a café style space, with tables surrounded by enough chairs for the number of participants you expect, for example:
   1. For a group of 12 participants, four tables, each with three chairs.
   2. For a group of 20, five tables, each with four chairs.

2. Cover each table with a large sheet of paper (the 'tablecloth') and place a pad of large sticky notes ('serviettes') on each.

3. Label each tablecloth with a question or topic that will be the focus of discussion at that table. You may:
   1. Use the same question or topic for all or multiple tables.
   2. Use a series of different but related questions or topics for each table.

4. Ask participants to take a seat at one of the tables.

5. Remind participants that listening to others is as important as speaking. Things to listen out for include:
   1. Insights and creative ideas
   2. Themes and patterns
   3. What is not being spoken about

6. Ask one person per table to volunteer to be the table host. Ask the remaining participants to move to a new table for each new round of dialogue. Explain to the table hosts that their role includes:
    1. Welcoming new participants to the table at the beginning of each new dialogue round.
    2. Starting each new dialogue round with a summary of the key insights and ideas that have been raised in the previous round(s).

7. Give participants 20 minutes to discuss the question or topic with the other people sitting at their table.
    1. Encourage them to doodle and make notes on the 'tablecloth'.
    2. Ask participants to write any key insights or ideas on the 'serviettes'.

8. Ask all participants who are not table hosts to move to new tables for another round of discussion.

9. Repeat steps 7 and 8 until all moving participants have visited all the café tables, or until the available time is exhausted. Equity Café dialogues work best if there are at least three, 20-minute rounds of dialogue.

10. At the end of the dialogue rounds, collect all sticky notes and re-distribute the same number of notes to each table host.

11. Ask roving participants to go back to their first table.

12. Ask participants to cluster the ideas and insights on the sticky notes at their table by:
    1. reading through all the ideas
    2. developing categories for clustering, which represent themes or patterns in the ideas.

13. Move to each table and ask one or more participants to briefly share the ideas or clusters that they found most important and the reasons why.

14. Optional step i: Photograph the artefacts, including the tablecloths, serviettes and clustering schemes.

15. Optional step ii: Use the ideas to generate:
    1. An equity action plan for the partnership.
    2. An equity statement for the partnerships.

Virtual implementation - Facilitator Guide

1. Set up a virtual meeting space with enough breakout rooms to enable participants to split into groups of three to five participants. If possible, set up breakout rooms up so that participants can choose their own room. For example:
    1. For a group of 12 participants, three breakout rooms, each with four participants.
    2. For a group of 20, five breakout rooms, each with four participants.

2. Set up a virtual whiteboard for each breakout room, that allows for individual ideas to be recorded "sticky-note" style (for example Miro).

3. Copy and paste the whiteboard URL into the chat function of each breakout room, so that all participants can access and add to the whiteboard.

4. Assign each breakout room a focus question. You can paste the question into the chat for that breakout room or use it as the title for the virtual whiteboard. You may:
    1. Use the same question or topic for all or multiple breakout rooms.
    2. Use a series of different but related questions or topics for each breakout room.

5. Ask participants to choose a breakout room and provide them with instructions six to eight (below).

6. Remind participants that listening to others is as important as speaking. Things to listen out for include:
    1. Insights and creative ideas
    2. Themes and patterns
    3. What is not being spoken about

7. Ask one person to volunteer to be the host for each breakout room and stay in that breakout room throughout. Explain to the breakout room hosts that their role includes:
    1. Welcoming new participants to the table at the beginning of each new dialogue round.
    2. Starting each new dialogue round with a summary of the key insights and ideas that have been raised in the previous round(s).

8. Ask the remaining participants to move to a new breakout room for each new round of dialogue. If they find the breakout room they wish to join is full (has more than the specified number of participants), they should choose another room.

9. Give participants 20 minutes to discuss the question or topic with the other people in their breakout room.
    1. Encourage them to make notes by typing comments into the chat.
    2. Ask participants to record any key insights or ideas, by adding a sticky-note to the virtual whiteboard.

10. After 20 minutes, ask all participants who are not breakout room hosts to move to a new breakout room for another round of discussion.

11. Repeat steps eight to - ten, until all moving participants have visited all the café tables, or until the available time is exhausted. Equity Café dialogues work best if there are at least three, 20-minute rounds of dialogue.

12. At the end of all the dialogue rounds, ask participants to take a short break. During the break:
    1. Set up a new whiteboard for each breakout room (you could do this in advance of the dialogue).
    2. Transfer all ideas recorded on sticky notes to the whiteboard(s).
    3. Mix up the sticky notes and then allocate the same number of sticky notes to each breakout room. Note that you may need to create new notes manually, as some online whiteboard apps do not include functionality to copy and paste between whiteboards.
    4. Paste the link for each new whiteboard into the chat of one of the breakout rooms.

13. After the break, ask all participants to go back to their first breakout room.

14. Ask participants to cluster the ideas and insights on their list, using the virtual whiteboard. They should look to:
    1. Read through all the ideas.
    2. Develop categories for clustering, which represent themes or patterns in the ideas.

15. Save the whiteboards.

16. Move the participants back to the main sessions.
17. Ask one or more participants to briefly share the ideas or clusters that they found most important and the reasons why. They could share the screen showing their group's whiteboard as they speak.

18. (Optional step) Use the ideas to generate:
    1. An equity action plan for the partnership.
    2. An equity statement for the partnerships.

Suggested questions and topics to explore using this tool

1. What is equity?

2. What would equity 'look like' in this partnership when assessed against the ten critical areas for developing equitable international research partnerships (Faure et al, 2020). These areas are:
    1. Capacity building
    2. Authorship
    3. Data (sample) ownership
    4. Research agreement
    5. Local health priorities
    6. Trust
    7. Acknowledging inequalities
    8. Recognition of stakeholders
    9. Communication
    10. Funding

3. How will we know if our research partnership is equitable?

4. What can/should I do to address equity in this research partnership?

5. What can/should other people do to address equity in this research partnership?

6. What can I not do to address equity in this research partnership?

Extra tips for face-to-face Equity Café dialogues

- Hang the tablecloths produced during the dialogues on the walls. This way participants can continue to view and think about the ideas that have been covered so far.
- Play background music and provide refreshments to create an informal, café-like atmosphere.

Expected outputs and outcomes

Outputs

- Artefacts from the café dialogues, which could be analysed using qualitative techniques to produce an equity statement, or inform the content of a written Research Partnership Agreement [see Tool 14 in Section 4]. Artefacts include:
    - Tablecloths
    - Serviettes
    - Clustering themes
    - Online whiteboards (virtual option)

Outcomes

- Increased mutual understanding of what equity means to different members of the partnership.
- Enhanced interpersonal relationships among partnership members, that provide a foundation for working together confidently and openly throughout.

References and further reading

- This tool is adapted from: World Café Community Foundation, 2015. Café to Go- A quick reference guide for hosting a World Café. Available from: https://theworldcafe.com/wp-content/uploads/2015/07/Cafe-To-Go-Revised.pdf

- When planning an Equity Café, read Café to Go, the World Café Hosting Guide, for further tips and hints on how to host a café.

- For ideas about how equity in research partnerships might be defined, see Faure, Marlyn C, Nchangwi S Munung, Ntobeko AB Ntusi, Bridget Pratt, and Jantina de Vries. 2021. "Mapping experiences and perspectives of equity in international health collaborations: a scoping review." *International journal for equity in health* 20 (1): 1-13.

Completed example Equity Café

The completed example details perspectives of 20 researchers about equity in their next research partnership. The researchers joined three conversations about different equity questions, at three different café tables. Using the online meeting platform Zoom, the participants discussed three questions. Using the online whiteboard platform Jamboard they recorded their answers:

What equity will mean? [View in full screen]

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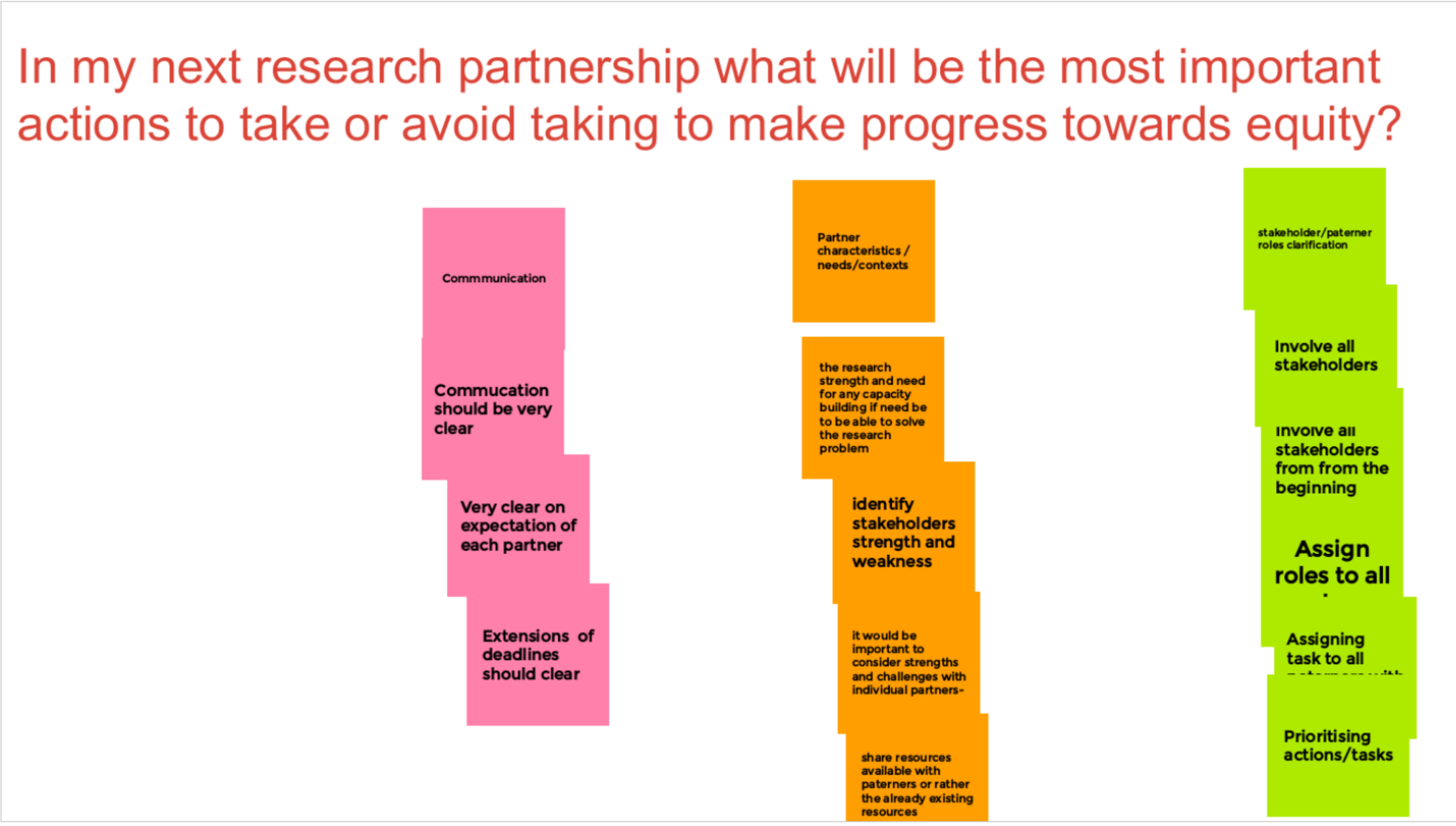
Tool 1 - Equity Café

What things will influence equity that members of my research partnership will not have control over? [View in full screen]

What are the most important actions to take or avoid taking to make progress towards equity? [View in full screen]



The recorded responses highlight the diverse possible meanings of equity in research partnerships, and that equity may mean different things to different people. The responses identify numerous actions that the participants thought it would be important to take, to optimise the chances that their next research partnership would be equitable, including actions that members of the partnership can take, such as communicating effectively, identifying expectations, strengths and weaknesses and allocating roles and responsibilities. However, the participants also identified numerous actions are beyond the control of all or some researchers, who rely on funding bodies to enable actions, and have to take risks because they do not know what they are getting into, when they form a research partnership.

Equitable Research Partnerships Toolkit

Tool 2: Recognising and Assessing Assumptions

Tool 2: Recognising and Assessing Assumptions

All of us make assumptions that are informed by past experiences and exposures. Researchers are no different. Their disciplines, locations and traditions, can all shape their outlook on how research should be conducted, the different roles people can and should play, and what equity might look like within a partnership. Every researcher is unique and will inevitably hold a different set of assumptions to others in a research partnership. Recognising and Assessing Assumptions is a dialogue-based tool, designed to make assumptions explicit, and increase awareness about how these might influence equity.

Why use the Recognising and Assessing Assumptions tool?

The Recognising and Assessing Assumptions tool addresses equity by:

1. Making explicit the different assumptions held by members of a partnership.
2. Creating a space to think about the equity implications of any assumptions brought to a partnership.

When to use the Recognising and Assessing Assumptions tool?

Phase	Rating	Descriptions
Planning	•••	Ideally the Recognising and Assessing Assumptions tool will be implemented in the **planning** stage of a research partnership.
Implementing	•	The tool can be adapted to focus on assumptions related to the **implementing** stage.
Disseminating	•	The tool can be adapted to focus on assumptions related to the **disseminating** stage.
Sustaining	•••	Recognising and Assessing Assumptions could be implemented as an evaluation tool, or to think about the implications of assumptions while **sustaining** a research partnership.

Ratings
••• Designed for this stage | •• Can be used as is in this stage | •Can be adapted for use in this stage

How long does it take to use the Recognising and Assessing Assumptions tool?

Rapid approach

To rapidly implement this approach, each participant would need to spend about ten minutes preparing for a one-hour group meeting.

Intensive approach

A more intensive approach to recognising and assessing assumptions could be implemented through a group meeting or workshop of around two to three hours.

What other resources do you need to use the Recognising and Assessing Assumptions tool?

A facilitator is required for the group session. It may be an independent facilitator or a member of the participant group.

For face-to-face implementation:

- A space for meeting, stationery (e.g. poster paper, pens, markers).
- Projection facility for displaying the Assumptions Assessment Matrix template.

For virtual implementation:

- A virtual meeting platform with screen sharing and breakout room facilities.
- A virtual whiteboard app such as Miro.

How to use the Recognising and Assessing Assumptions tool?

The Recognising and Assessing Assumptions tool is designed to be implemented in a group setting, which could be face-to-face or virtual.

Rapid approach

In advance of the meeting:

1. Ask each participant to contribute up to five assumptions. If you believe some of the assumptions will be sensitive to discuss, you could allow participants to submit assumptions anonymously. Possible methods for submitting assumptions include:
    1. By adding to a shared drive spreadsheet or document
    2. By emailing to the facilitator to compile
    3. By writing on a list (only possible if participants are in the same physical space).
2. Alternatively, you could choose assumptions from those suggested below.

In the meeting:

3. Select three to five assumptions to explore in more depth. These could be selected by the participants through a vote, chosen from a hat, or determined by the facilitator.

4. Split participants into three to five groups (face-to-face) or breakout rooms (virtual), one per assumption. Ask each group to spend 15-20 minutes discussing the following questions and recording key answers on a poster paper (face-to-face) or virtual whiteboard (virtual):
    1. Is the assumption justified?
    2. How could the assumption influence equity in our partnership?
    3. How should this assumption be addressed in our partnership?

5. Call all participants back to one group and ask one member of each small group to present a summary of their group's discussion Give them three to five minutes for this.

6. Optional step - Ask members of the group to nominate themselves to act on the ideas presented for addressing each of the assumptions.

7. Close the session by reminding participants that all people hold assumptions, and that to build an equitable partnership it is necessary for all members to regularly reflect on the implications of their assumptions.

Intensive approach

1. Open the session by asking participants to brainstorm assumptions that researchers bring to research partnerships (15-20 minutes).
    1. Ask participants to call out assumptions.
    2. Ask small groups to develop lists of assumptions.
    3. Ask participants to write assumptions on sticky notes (or type them in the chat, if implementing virtually).

2. Select three to five assumptions, that are relevant to your research partnership, to explore in more depth. These could be selected by the participants through a vote, chosen from a hat, or determined by the facilitator. Type the assumptions into the spaces in the Assessment Matrix template.

3. For each selected assumption, ask participants to indicate if the assumption is:
    a. Justified and fair
    b. Justified but not fair
    c. Fair but not justified
    d. Neither justified nor fair

    You achieve this by conducting an online or in-person poll or by asking participants to move to corners of the room that are labelled with options a-d from step 3.

4. For each assumption, ask several participants:
    1. To speak about why they think the way they do.
    2. To indicate how this assumption will influence equity in the partnership.
    3. To indicate how this assumption could be addressed within the partnership.

5. Complete the checking your assumptions matrix by
    1. Entering the number of participants who chose to stand by each option (a-d from step 3), representing their assessment of the assumption.
    2. Listing ways in which the assumption will influence equity.
    3. Listing strategies or actions by which this assumption could be addressed to enhance equity.

Suggested assumptions to explore when using the Recognising and Assessing Assumptions tool:

1. Research partnerships are intended to build the capacity of researchers in the Global South.
2. Research institutions in the Global South have lower research costs than research institutions in the Global North.
3. It's a privilege for research institutions in the Global South to conduct research in partnership with research institutions in the Global North.
4. Research institutions in the Global South should take greater responsibility for data collection because they are closer to the research setting.
5. Research institutions in the Global North will design a study before initiating partnerships with research institutions in the Global South.
6. Researchers in the Global South deserve to be the first and/or last authors of articles reporting the results of partnership research conducted in their countries.
7. Researchers in the Global South are generally less skilled than researchers in the Global North.
8. Researchers in the Global South find it harder to get funding because they have less research experience than their peers in the Global North.
9. Peer-reviewed publications are the most important outputs of a research partnership.
10. Research does not need to be relevant to the local community, so long as it advances scientific knowledge.

Tips for using the Recognising and Assessing Assumptions tool

- Focus on assumptions, not the individuals that hold them. This should help in to keep the discussion(s) non-personal.
- Make it clear that participants can suggest assumptions that other people hold, not only assumptions that they hold themselves.

Expected outputs and outcomes from using the Recognising and Assessing Assumptions tool

Outputs

- Intensive implementation of this tool will produce an Assumptions Assessment Matrix. This will detail strategies that might be implemented within the partnership to address assumptions that influence equity.

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Tool 2: Recognising and Assessing Assumptions

<u>Outcomes</u>

Using this tool will:

- Increase awareness about the assumptions that researchers may bring to a partnership.
- Foster understanding about how assumptions can influence equity in a partnership.
- Encourage researchers to regularly reflect on the implications of their assumptions.

Completed example of the Recognising and Assessing Assumptions tool

This completed example includes five assumptions, as discussed by a hypothetical partnership, involving five European, and five African partners. The results show that partners often had different perspectives about whether assumptions were justified and/or fair.

References and further reading for the Recognising and Assessing Assumptions tool

- This tool is informed by the checking your assumptions activity in: Cornish Hilary, Jude Fransman and Kate Newman. 2017. "Rethinking research partnerships: Discussion guide and toolkit." Available from: https://www.christianaid.org.uk/sites/default/files/2022-08/discussion-guide-ngo-academic-research-oct2017.pdf

Tool 3: Multiple Perspectives on Equity

Multiple Perspectives on Equity is a tool that encourages participants to put themselves in different shoes and think about various stakeholders' perspectives on equity, or equity related issues, in a research partnership. The intention is to foster thinking about what equity means and what it might 'look like' within a particular research partnership. It also asks participants to consider how various practices might contribute to, or detract from equity, from different vantage points.

Why use the Multiple Perspectives on Equity tool?

Use the Multiple Perspectives on Equity activity to develop shared understandings, and increase awareness, of the range of understandings of equity.

This tool addresses equity by:

1. Encouraging research stakeholders from the Global North to think about equity from the perspectives on research stakeholders from the Global South, and vice versa.
2. Developing understanding and awareness of the equity implications of different ways of doing research.

When to use the Multiple Perspectives on Equity tool?

Phase	Rating	Descriptions
Planning	•••	Developing a shared understanding of equity and how different practices might influence equity within a research partnership in the planning stage is ideal.
Implementing	•••	The Multiple Perspective tool can be used to explore different perspectives on equity related issues in the implementing stage.
Disseminating	•••	The Multiple Perspective tool can be used to explore different perspectives on equity related issues in the disseminating stage.

Sustaining	•••	The Multiple Perspective tool can be used to explore different perspectives on equity related issues in the sustaining stage.

Ratings
••• Designed for this stage | •• Can be used as is in this stage | •Can be adapted for use in this stage

How long does it take to use the Multiple Perspectives on Equity tool?

Rapid approach

- When time and funding is minimal, complete the Multiple Perspectives on Equity activity rapidly, by asking each participant to speak from only one stakeholder perspective. This approach could be achieved in around 30 minutes.

Intensive approach

- The Multiple Perspectives on Equity activity would ideally be implemented with time for each participant to think and speak from the perspective of multiple stakeholders. This approach, described below, would take one to two hours per question, topic or problem.

What other resources do you need to use the Multiple Perspectives on Equity tool?

- Stakeholder cards - use the Stakeholder Cards Template, Common Research Partnership Stakeholder Cards or make your own cards.
- A physical or virtual meeting space
- A facilitator

How to use the Multiple Perspectives on Equity tool?

1. The activity is designed to be implemented by one of more groups of six to eight people. Split larger groups into multiple smaller groups (using breakout rooms for virtual implementation).

2. Display the question, topic or problem that you wish to explore different stakeholders' perspectives on, so that all participants can see it. For example, write the questions/topic on a sheet of paper or white board (face-to-face implementation) or type into the chat function (virtual implementation).

3. Decide which stakeholders' perspectives you want to explore and prepare stakeholder cards.
   - Ask participants to suggest stakeholders and write them on the Stakeholder Cards template OR
   - Use Common Research Stakeholder cards.

4. Give each participant a stakeholder card and a few minutes to think about how this stakeholder might view the question, topic or problem.
   - For virtual implementation, display the stakeholder cards using the screen share function. Ask each participant to choose a stakeholder and then change their meeting name to the stakeholder label.

5. Ask each participant to speak for a minute or two, from their stakeholder's perspective, sharing their stakeholder's (a) opinion, (b) ideas for acting within the partnership and (c) equity implications. They may begin their contributions by saying, "From my perspective as a [Stakeholder name]" …
   - You may wish to have a notetaker document the opinions, ideas, and equity implications as they are presented.

6. When each participant has spoken, redistribute all the stakeholder cards, so that each participant gets a new card and an opportunity to think from another perspective.

7. Repeat step five to six above until you have exhausted the cards or available time. Ideally, each participant would have the opportunity to think and speak from at least three different stakeholder perspectives.

8. Discuss the implications of the different perspectives, including what actions could/should be taken to address inequities identified through the activity.

9. Document actions that will be taken and who will be responsible for their implementation.

Suggested questions, topics and challenges to explore when using the Multiple Perspectives on Equity tool

- Meaning of equity:
    - What is equity?
    - What would equity look like in this partnership?
    - What could be done to improve equity in this partnership?

- Equity of different methodological choices, such as:
    - Methodology (e.g. experimental, observational)
    - Sampling approach
    - Data collection methods and tools
    - Research instruments

- Equity of different research ethics choices:
    - Providing research participant reimbursements and/or tokens of appreciation
    - Obtaining written informed consent

- Equity in relation to research outputs:
    - Producing outputs targeted to community members and policy makers
    - Authorship on peer-reviewed publications
    - Data ownership and sharing

Tips for using the Multiple Perspectives on Equity tool

- Ensure participants think and speak from the perspective of other stakeholders, not from their own perspective.

- Encourage participants not to pass their turn. If they have difficulty thinking from the perspective of their stakeholder, encourage them to consider questions such as:
    - What does this stakeholder see about the topic that other stakeholders do not?
    - What is unique about this stakeholder's understanding of the topic?
    - What data or knowledge is this stakeholder's understanding of the problem based upon?

- This tool could also be used to think about other issues that influence equity in a research partnership, such as how the study should be designed, or what the impact of the study should be.

Expected outputs and outcomes from using the Multiple Perspectives on Equity tool

Outputs

- The proceedings of the Multiple Perspective on Equity activity could be documented by a notetaker.

Outcomes

- Increased awareness of the different meanings and actions people associate with equity.
- Increased understanding of how other members of a research partnership might think about equity.

Completed example of the Multiple Perspectives on Equity tool

Download the Multiple Perspectives on Equity completed example.

The completed example details perspectives of eight common research partnership stakeholders. They discussed the equity implications of different methodological approaches for a study to inform water, sanitation and hygiene interventions in a Globally Southern community. The example highlights how methodological choices have equity implications for research and non-research stakeholders. This includes policy makers, who are expected to utilise research evidence, and community members who experience water, sanitation and hygiene problems.

References and further reading for the Multiple Perspectives on Equity tool

This tool is adapted from the Wheel of Multiple Perspective activity in Brouwer, Herman, Jan Brouwers, Minu Hemmati, Femke Gordijn, Riti Herman Mostert, and JL Mulkerrins, 2017. 'The MSP Tool Guide: Sixty tools to facilitate multi-stakeholder partnerships: companion to The MSP Guide.' Available from: https://www.wur.nl/en/Publication-details.htm?publicationId=publication-way-353135353036

Tool 4: Matrix Ranking

Matrix Ranking is a tool for quantitatively assessing and comparing the importance of a range of strategies or actions that might be taken within a research partnership. Each activity is scored against numerous equity and non-equity criteria, agreed by the partners. The scores for each criterion are totalled up to provide a quantitative comparison of importance. This can be used as a basis for selecting and prioritising actions.

Why use the Matrix Ranking tool?

The Matrix Ranking tool can be used to ensure equity is systematically and explicitly considered, when determining the best course of action within a research partnership. This tool addresses equity by:

1. Quantifying and counting the contribution of different activities to enhancing equity in the partnership.
2. Ensuring that the equity-related impacts of proposed actions are considered.

When to use the Matrix Ranking tool?

Phase	Rating	Descriptions
Planning	•••	Matrix ranking should be used in the planning stage, to assess macro-level actions that might be taken throughout the research process.
Implementing	••	Use matrix ranking in the implementing stage by entering actions and criteria specific to this stage.
Disseminating	••	Enter actions that occur in the disseminating stage and relevant criteria into the matrix ranking template to use in this stage.
Sustaining	•••	The tool can also be used to assess actions related to sustaining a partnership, against relevant criteria.

Ratings
••• Designed for this stage | •• Can be used as is in this stage | •Can be adapted for use in this stage

Equitable Research Partnerships Toolkit

Tool 4: Matrix Ranking

How long does it take to use the Matrix Ranking tool?

Rapid approach

- A rapid approach to using the tool might involve a single researcher completing the template and then sharing this with others for their feedback and considerations.
- Focus the matrix ranking on just one stage (planning, implementing, disseminating or sustaining) of the research partnership.
- The tool could also be implemented rapidly to assess and compare a small number of actions, for example, two competing possibilities. This approach could take as little as 30 minutes.

Intensive approach

- An intensive approach to implementing matrix ranking would involve the action, criteria and rankings all being determined through group discussions. This could be conducted face-to-face or virtually. This approach would likely take two to three hours, depending on the number of actions assessed.

What other resources do you need to use the Matrix Ranking tool?

- The Matrix Ranking Form template
- Face-to-face or virtual meeting space
- Facilitator and notetaker
- Projector or screen sharing facility to display the Matrix Ranking template as it is completed

How to use the Matrix Ranking tool?

1. Determine the actions and criteria you want to rank and compare.
    a. For a rapid approach this might involve:
        i. Using predetermined actions and criteria such as those in the Matrix Ranking Form completed example.
        ii. Agreeing on actions and criteria through an email exchange
        iii. Nominating one member of the partnership to develop the actions and criteria.

   b. For an intensive approach, actions and criteria would be decided by majority group consensus. This would be reached via discussion and/or a vote.

2. Download the [Matrix Ranking Form template].

3. Select the Actions and Criteria sheet (bottom left corner), if it is not already selected.
   a. In the Actions column, enter up to 10 actions that might be taken during the four stages of a research partnership.
   b. Enter up to ten criteria in the Criteria column.
      i. These should include up to five equity, and up to five non-equity criteria.
      ii. Ensure that the criteria are all worded in the positive or the negative. For example, 'more equitable' is a positive reason and 'less equitable' is a negative reason.
      iii. You may wish to use the same or different criteria for different stages of the research partnership. If you decide to use the same criteria for more than one stage, copy and paste the criteria for each stage.

4. Agree on a numeric scoring method, for example using 0-4 where 0 = strongly disagree and 4 = strongly agree.

5. Go to the Planning sheet of the template.
   a. Delete any unused Action rows and/or Criteria columns. For example, if you only intend to assess eight actions, delete Action rows nine and 10.

6. Ask the participants to collectively score each action against each criterion. The totals for equity, non-equity and all other criteria will automatically calculate.

7. Discuss the equity, non-equity and total scores and their implications for action planning (see below for suggested questions).

8. Decide on actions that will be taken in the partnership and/or included in the funding proposal, as well as who should take responsibility for implementing these actions.

9. You may wish to repeat steps five to eight for the Design and Implementation, Dissemination and Impact and Evaluating and Sustaining sheets, or you could conduct a separate matrix ranking activity for these stages later in the partnership.

Equitable Research Partnerships Toolkit

Tool 4: Matrix Ranking

Suggested questions to explore when using the Matrix Ranking tool

- How do the equity and non-equity scores for each action differ?
- Should/can actions that score high for equity, but low for non-equity considerations, be implemented?
- Should/can actions that score low for equity, but high for non-equity considerations, be implemented?
- What other actions could/should be taken to better balance equity and non-equity considerations?

Expected outputs and outcomes from using the Matrix Ranking tool

- Using this tool will produce:
    - A complete matrix, visualising and enabling comparison of scores for different possible actions.
    - Quantitative data on the equity and non-equity scores for different actions. Implementing a matrix ranking exercise should enhance participants' understanding of:
        a. The equity and non-equity implications of taking a variety of actions.
        b. How equity and non-equity considerations could best be balanced in the partnership.

Completed example of the Matrix Ranking tool

Download the Matrix Ranking completed example.

Partnership description

The completed example is based on a hypothetical partnership to assess the biochemical properties of medicinal plants, as traditionally used in South-East Asian countries to treat conditions of ageing such as arthritis and dementia. The aim of the research is to develop and commercialise pharmaceutical products to treat conditions of ageing. The partner leading the research is a university based in a Globally Northern country with a rapidly ageing population. The proposed funder for the research is based in the same country as the institution in the Global North. They have a funding stream for Global North-South partnership research. However, the funder does not have specific requirements for what the partners involved must do, other than a requirement for partners based in the Global South to demonstrate 'ownership' through in-country contributions.

Equitable Research Partnerships Toolkit

Tool 4: Matrix Ranking

The university in the Global North has invited universities based in Vietnam, Malaysia and China to the partnership. Each has a strong track record of working with Indigenous knowledge holders to identify and assess traditionally used medicinal plants. The Globally Northern university believes the partnership is necessary as they could not effectively conduct the research without tapping into their partners' network of Indigenous knowledge holders, most of whom do not speak English, nor read or write in any language. Through the partnership arrangement, the Globally Southern universities will receive funding to purchase laboratory equipment that they require to advance their biochemical analysis techniques. They cannot access the funding stream without working in partnership with an institution from the Global North, and therefore see working in partnership as essential.

Actions and Assessment Criteria

Partners have developed a list of up to 10 possible actions or outcomes to be taken at each stage of the research partnership. They have agreed to assess each proposed activity, in each stage, against five equity and five non-equity criteria. Each item will be scored 0-4, where 0 = strongly disagree, 1 = Disagree, 2 = Neither agree nor disagree, 3 = Agree and 4 = Strongly Agree. Therefore, the maximum possible equity and non-equity scores are each 20, and the maximum possible total score is 40.

Results

The results of the completed example show that actions that score highest for equity, often achieve relatively low scores for non-equity considerations, such as research rigour or ethics. For example, actions that are essential for achieving equity, such as recognising the contributions of traditional knowledge holders, receive minimal scores against non-equity criteria. This indicates that if equity is not explicitly considered and valued, actions that enhance equity within a partnership may not be considered or included in the funding proposal.

References and further reading for the Matrix Ranking tool

- This tool has been informed by Tool 63 - Matrix Scoring, which can be found on Page 63 of International HIV/AIDS Alliance, 2009. *Tools together now! 100 Participatory tools to mobilise communities for HIV/AIDS*: United States Agency for International Development.
- Good preparation reading: The Global Code of Conduct for Research in Resource-poor Contexts and/or Mapping experiences and perspectives of equity in international health collaborations to inform the development of equity criteria.

Tool 5: Stakeholder Analysis

The stakeholder analysis tool facilitates identification of stakeholders in a research partnership, as well as the systematic assessment of each stakeholders' importance and influence, and the risks and benefits of including them in the partnership. Information about each stakeholder is entered into a matrix. Results can be used to inform decisions about which stakeholders should be included in a partnership and to document the unique contributions that different stakeholders bring to the partnership.

Why use the Stakeholder Analysis tool?

Completing a stakeholder matrix is useful when planning a new partnership. It can help to develop understanding of who, beyond the obvious candidates, it might be important to include, for equity or for other reasons. While involving influential stakeholders might be necessary to ensure the project succeeds, facilitating the participation of stakeholders who have little influence, but will still be impacted by the research, might be necessary to ensure the activities of the research partnership are equitable.

This tool addresses equity by:

1. Identifying stakeholders who will be impacted by the research and who should be involved in a partnership, for equity reasons.
2. Encouraging an inclusive approach to stakeholder engagement, in which equity is situated as a legitimate and important reason for inclusion.

When to use the Stakeholder Analysis tool?

Phase	Rating	Descriptions
Planning	•••	This tool is ideally implemented in the planning stages of a partnership.
Implementing	•	A stakeholder matrix could be adapted to focus on the design and implementation stage.
Disseminating	•	A stakeholder matrix could be adapted to focus on the dissemination and impact stage.

Sustaining	•••	Stakeholder matrices are also well-suited to evaluating past or assessing future stakeholder involvement.

Ratings
••• Designed for this stage | •• Can be used as is in this stage | •Can be adapted for use in this stage

How long does it take to use the Stakeholder Analysis tool?

Rapid approach

- This tool could be implemented rapidly, through a single researcher completing the stakeholder matrix template with their own ideas. This might take 30-60 minutes.
- Alternatively, the tool could be implemented rapidly by only completing the stakeholder importance and influence sections of the table.

Intensive approach

- An intensive approach to implementing this tool would involve a meeting involving all those already planning to participate in the partnership, and deliberations to identify and assess other stakeholders. This approach would likely require two to four hours and could be implemented face-to-face or virtually.

What other resources do you need to use the Stakeholder Analysis tool?

- Stakeholder Analysis Form template
- For intensive approach:
    - A meeting space or online meeting forum
    - A facilitator

How to use the Stakeholder Analysis tool?

1. Download the Stakeholder Analysis Form template and select the Assessment Lists sheet.

2. Identify up to 20 stakeholders who have an interest in the research partnership and might be invited to participate.

   a. In a group approach, stakeholders should be identified via discussion, or by participants calling out their stakeholder ideas.
   b. In an individual approach, stakeholder names could be added to the list over time or in a single session.

3. Type one stakeholder name in each row of the stakeholder list.

4. Decide on the criteria against which you would like to assess each stakeholder's involvement. Note that the form already includes criteria for assessing each stakeholder's:
   a. Interest in the partnership (one criterion, qualitative)
   b. Influence (two criteria, quantitative)
   c. Importance (two criteria, quantitative)

5. List up to five additional criteria, by typing the criteria in the rows labelled criteria 1-5.

6. For each additional criterion, enter the meaning of each quantitative score (0-2), using the influence and importance scores as examples. Note that higher scores should correspond with more positive assessments. For example:
   a. If risk was one criterion, the meanings of the scores might be 0 = Very risky, 1 = Somewhat risky, 2 = Not at all risky.
   b. If benefits were another criterion, the meanings of the scores might be 0 = Not at all beneficial, 1 = Somewhat beneficial, 2 = Very beneficial.

7. Select the Assessment form sheet. Delete any unused stakeholder rows and criteria columns.

8. Complete the Stakeholder Assessment section by:
   a. Typing a sentence to describe each stakeholder's interest in the research partnership.
   b. Selecting a score between 0-2 for each of the quantitative criteria.

9. Discuss the overall scores, which will depend on the number of assessment criterion, and their meanings.

10. Informed by the scores, discuss how much each stakeholder might/should participate in each stage of the research partnership and/or project.

11. Complete the Levels of Participation section, entering a score for each stakeholder's desired level of participation in each stage of the research.

Suggested questions to explore using the Stakeholder Analysis tool

Stakeholder identification

- Who will be affected by the research?
- Who could influence the success of the research process?
- Who will be interested in/could act on the results of the research?
- Are there any gaps in the stakeholders identified? How could these be filled?

Stakeholder assessment

- Do any stakeholders have conflicting interests? How could this influence success?
- How much involvement might specific stakeholders expect or desire?
- How risky is it to involve specific stakeholders? How beneficial is it?
- How much work will it take to include specific stakeholder?
- What level of influence will certain stakeholders have on the success of the project?

Expected outputs and outcomes from using the Stakeholder Analysis tool

Outputs

- Completed stakeholder identification and analysis table.

Outcomes

- Enhanced understanding on the range of stakeholders involved in a research project or partnership, and sight of what each brings to/gets out of the partnership.
- Decisions about which stakeholders to invite to a partnership.

Completed example of the Stakeholder Analysis tool

Download the Stakeholder Analysis Form Completed Example.

The completed example is based on a partnership led by a university in a Globally Northern country and formed part of their application for funding from their national government. The funding stream is only available to universities in that territory, that are conducting sustainable agriculture research, in partnership with two or more universities from the Global South. The funder will assess applications based on the potential for excellence (i.e. scientific rigour) and equity (i.e. fairness) of the proposed partnership. Researchers from the Globally Northern university wish to identify partners to collaborate on an experiment to measure the impact of different agricultural intensification interventions, including one intervention they have designed.

Researchers from the Globally Northern university have used the Stakeholder Assessment tool to consider the pros and cons of involving 10 different universities, from five Globally Southern countries, that they are considering inviting to the partnership. In each country they have identified the university with the strongest research track record (research university), and the university closest to the rural community in which it is proposed that the study would be implemented (rural university). The Globally Northern researchers perceive that they will need to involve the Globally Southern research universities for excellence, and the rural ones for equity.

The results of completing the form show that all the Southernly based universities have an interest in accessing funding, but their other interests differ (e.g. some are interested in research capacity building and others in community development). Most of the research universities have scientific influence, but not community influence. The rural universities have both scientific influence (in that their relationships with study communities will influence participant recruitment) and community influence. The research universities are typically less risky to involve, and have more influence in the scientific community, than the rural universities. However, they have limited influence in the local community, where the Southernly rural universities score better.

Overall, the results show that in two countries, both the research and rural universities attain 'medium' or 'high' scores. The Globally Northern university decides to try and establish a research partnership that involves consultation with, or full participation of, all four of these universities. They decide not to attempt to engage the other six universities.

References and further reading for the Stakeholder Analysis tool

- This tool is informed by and builds on resources in World Health Organisation, 2002. 'Identifying and Analysing the Stakeholders and Establishing Networks.' *Health Sector Planning and Policy Making - A Toolkit for Nurses and Midwives.* Available from: https://apps.who.int/iris/bitstream/handle/10665/207061/9290611863_mod2_eng.pdf?sequence=5&isAllowed=y.

Equitable Research Partnerships Toolkit

Tool 6: Partnership Power Dynamics Assessment

Tool 6: Partnership Power Dynamics Assessment

All partnerships are characterised by unequal dynamics of decision-making power. Being aware of which partners hold more or less power to make decisions is an important step in making a partnership more equitable. Increased awareness of power inequalities can provide a good foundation for the implementation of activities and/or processes that look to address any imbalances. It can also help more powerful partners to think about how they might use their power for equitable ends.

Why use the Partnership Power Dynamics Assessment tool?

Use the Partnership Power Dynamics Assessment tool, to increase awareness'/analyse the dynamics of power within your partnership. This tool addresses equity by:

1. Identifying important decisions that will be made within the partnership, and highlighting the decisions, in which participation from some, or all partners, would be needed to make the partnership equitable.
2. Identifying inequities in decision making power, and opportunities for shifting these power dynamics.
3. Creating an impetus to address inequities in decision making power

When to use the Partnership Power Dynamics Assessment tool?

Phase	Rating	Descriptions
Planning	•••	The partnerships power dynamics tool is ideally implemented in the planning stages.
Implementing	••	The tool can be used to assess power dynamics in the implementing stage.
Disseminating	••	The tool can also be used to assess power dynamics in the disseminating stage.
Sustaining	••	The tool can also be used to assess power dynamics in the sustaining stage.

Ratings
••• Designed for this stage | •• Can be used as is in this stage | •Can be adapted for use in this stage

The Association of Commonwealth Universities

Equitable Research Partnerships Toolkit

Tool 6: Partnership Power Dynamics Assessment

How long does it take to use the Partnership Power Dynamics Assessment tool?

Rapid approach

- A rapid approach to implementing the tool might involve examining power dynamics for a minimal number of decisions or assessing the power of a few key partners. This might take 30-60 minutes.
- The tool could also be implemented rapidly, by having one member of the partnership complete it, and then convening a meeting of all involved, to discuss the results. This might take the individual completing the form one to two hours, and those participating in the discussion 30-60 minutes.

Intensive approach

- An intensive approach would involve implementing the tool in a group setting, and providing time for the partners to:
  - Determine the decisions to be assessed.
  - Discuss each partners' power in making these decisions.
- This approach might require two to four hours, depending on how many decisions and partners are discussed.

What other resources do you need to use the Partnership Power Dynamics Assessment tool?

- Partnership Power Dynamics Assessment form template
- A face-to-face or virtual meeting forum with projection (screen sharing) capabilities.
- A facilitator
- A representative for each organisation in the partnership, who is familiar with the organisation's processes and interests in the partnership.

How to use the Partnership Power Dynamics Assessment tool?

Facilitator Guide

Preparation

1. Download the Partnership Power Dynamics Assessment form template and select the Lists sheet. Complete Section 1: Partner Details. This involves entering the names of each organisation in the partnership, and the name and position of the person who will represent them in the power assessment activity.

2. Once all partner details are entered, delete any unused rows on the Lists sheet.

3. Select the scoring sheet and delete any unused partner columns.

Group session

- Welcome participants and briefly introduce the activity.

- Display the Partnership Power Dynamics Assessment form on a screen that all participants can see (in a face-to-face meeting use a projector, in a virtual meeting use the screen sharing facility).

- Discuss and decide on up to 10 important decisions that will need to be made in the partnership, during each of the four stages of the research process. You could do this using a range of approaches, including:
    - Brainstorming and calling out.
    - Dividing into smaller groups (or breakout rooms in virtual implementation) that each identify important decisions for one stage of the research partnership.

- Select the Lists sheet. Enter each decision into one of the rows for the corresponding stage of the research.

- Select the Scoring sheet.

- Delete any unused decision rows.

- Save and share the template with all participants in the workshop, via email or shared drive.

- Provide time for each participant to score their organisation's planned, actual and desired levels of decision-making participation, and then ask them to input this into the electronic form.

- Compile each person's answers in a single form (if using email to share). This step might best be done while participants take a break for refreshments.

- Reconvene the group to discuss the results, and their implications for equity (see below for suggested questions to explore).

Suggested questions to explore using the Partnership Power Dynamics Assessment tool

- How equitably is decision making power distributed amongst the partners?
  - When is decision making power equitable but not equal?
  - When is decision making power equal but not equitable?

- When a partner desires more (or less) power than they actually have, does this represent inequity? Why or why not?

- For which decisions are there equitable power and participation dynamics? What makes these dynamics equitable?

- For which decisions are there inequitable power and participation dynamics? What makes these dynamics inequitable?

- What actions could be taken to make the dynamics of power and participation in decision making more equitable?

Expected outputs and outcomes from using the Partnership Power Dynamics Assessment tool

<u>Outputs</u>

- A completed Power Dynamics Assessment form.

<u>Outcomes</u>

- Increased awareness of how decision-making power is distributed amongst partners and members in the partnership.

- Changes in distribution of decision-making power, that make power dynamics more equitable.

Completed example of the Partnership Power Dynamics Assessment tool

Download a completed example of the Power Dynamics Assessment form.

Partners

The completed example is based on a hypothetical research partnership involving three universities and a non-governmental organisation. The Globally Northern University is a major research institution, in a high-income country, with a top-100 place in the international university rankings. The first Globally Southern University is an urban, research-intensive university, from a middle-income country, with a top-500 international university ranking. The second Globally Southern University is a rural, teaching-intensive university, based in the same middle-income country, and situated close to the rural community that may be a focus of interest for the Northern University's stud. The non-governmental organisation is based in the Global South and is also located near this community.

The results of the completed example illustrate a partnership in which the Globally Northern partner holds most of the decision-making power, despite a desire to share more power with the Southernly based partners. Although the first Southernly located University partner holds more decision-making power than the second one, the first does not participate in decision making as much as they desire. The two partners based in the study community (Southernly located University 2 and the non-governmental organisation), who were invited to the partnership because they have the best knowledge of local culture and context, have limited decision-making power. They are informed about decisions after they have been made by the partner in the Global North (sometimes in collaborations with the first Southernly located Partner). Although the non-governmental organisation does not desire equal power in many of the research related decisions, they generally have less power than desired.

Through discussion, the partners agree that the dynamics of decision-making power are inequitable, and that steps need to be taken to increase the power of the Southernly based Universities and the non-governmental organisation.

References and further reading for the Partnership Power Dynamics Assessment tool

- This tool has been adapted to the research partnerships context from Partos, 2020. *Power Awareness Tool- A tool for analysing power in partnerships for development*. https://www.partos.nl/wp-content/uploads/2021/05/Power-Awareness-Tool.pdf.

Equitable Research Partnerships Toolkit

Tool 7: Skills and Roles Assessment Questionnaire

Tool 7: Skills and Roles Assessment Questionnaire

The Skills and Roles Assessment Questionnaire facilitates the systematic identification and assessment of the 'fit' between the skills held by different partners, and the roles they will play. The tool considers skills and roles in relation to the management of the partnership, highlighting things such as leadership, as well as research (scientific) skills.

Why use the Skills and Roles Assessment Questionnaire tool?

Using the Skills and Roles Assessment Questionnaire helps to ensure that the roles that people take on within a partnership are well matched to their existing skills and/or the skills that will be built throughout. Matching skills and roles has important equity implications, especially when applied to things like career development opportunities and performance recognition. This tool enhances equity in a research partnership by:

1. Documenting and recognising the skills all partners bring to a partnership.
2. Explicitly identifying the roles that different partners will be expected to take on.
3. Identifying potentially inappropriate or inequitable role allocations, that may result in partners not receiving adequate recognition or opportunity.
4. Identifying opportunities/needs for capacity building and mentoring within a research partnership.

When to use the Skills and Roles Assessment Questionnaire tool?

Phase	Rating	Descriptions
Planning	•••	The Skills and Roles Assessment tool is ideally used to in the **planning** stage.
Implementing	•	The tool can be adapted for use in the implementing stage.
Disseminating	•	The tool can also be adapted for use in the disseminating stage. .
Sustaining	•••	The Roles and Skills Assessment can be used to identify skills and allocate roles for future partnership activities, in the sustaining stage.

Ratings
••• Designed for this stage | •• Can be used as is in this stage | •Can be adapted for use in this stage

Equitable Research Partnerships Toolkit

Tool 7: Skills and Roles Assessment Questionnaire

How long does it take to use the Skills and Roles Assessment Questionnaire tool?

Rapid approach

- A rapid approach to using this tool might involve each partner or member of the partnership completing the questionnaire as a self-assessment, with no discussion. This would take each person 15-30 minutes.

Intensive approach

- An intensive approach to using this tool might involve asking each partner or member to complete the questionnaire individually (as in the rapid approach), then coming together as a group to discuss skills, and make decisions about roles of each partner, in a meeting or workshop. This approach would require an additional one to two hours.

What other resources do you need to use the Skills and Roles Assessment Questionnaire tool?

- Skills and Roles Assessment Questionnaire template
- For a meeting-based implementation:
    - Face-to-face meeting space or virtual meeting forum.
    - A facilitator and note taker.
    - Projection or screen sharing facility.

How to use the Skills and Roles Assessment Questionnaire tool?

Preparation (individual assessment)

1. Download the Skills and Roles Assessment Questionnaire template.

2. Modify the criteria for assessment, by adding or removing criteria as necessary, to make the questionnaire optimally appropriate for your partnership. This may be done in a group setting or by a nominated individual. For example, the questionnaire could be modified by:
    a. Adding more specific research skills that might be needed or desirable within your research partnership. These could be things like qualitative or quantitative design or analysis skills, or specific laboratory techniques.

   b. Removing any criteria which are not considered relevant or desirable to assess within your partnership.

3. In each of the worksheets, enter the names of up to five partners who will complete the assessment, (labelled in the template Partner 1, Partner 2, etc.).

4. Delete any unused Partner sheets. Delete any unused columns in the Partnership overview sheet.

5. Add the Skills and Roles Assessment spreadsheet to a shared drive and send the link to members of the partnership who will complete the assessment.
   a. Alternatively, the questionnaire can be emailed, and the results returned and compiled.

6. Ask members of the partnership to select the sheet labelled with their name and complete the questionnaire detailing their own (or their organisation's) skills and the role(s) they or their organisation expect to (or have been asked to) take on. Alternatively, or additionally, you may ask members to complete the questionnaire for other individuals or organisations in the partnership. For each item on the questionnaire:
   a. Enter a number between 0-4 in the skills score and a roles score.
      i. 0 = No skill/role
         1 = Very limited skill/role
         2 = Limited skill/role
         3 = Considerable skill/role
         4 = Major skill/role

   b. The overall score equals the skills score, minus the roles score, and will calculate automatically.
      i. Scores of 0 indicate good 'fit' between skills and roles.
      ii. Positive scores indicate skills may be under-utilised, with higher positive scores indicating greater underutilisation of skill. For example, a score of 3 indicates a greater underutilisation of skill compared to a score of 1.
      iii. Negative scores indicate inadequate skills for the role, with lower negative scores indicating larger skills gaps. For example, a score of -4 indicates a major skill gap, whereas a score of -1 indicates a minor skill gap.

   c. Enter comments that explain the selected scores and/or suggestions for changes to skills or roles that might be required to address mismatches.

Group meeting

7. Display the Skills and Roles Assessment completed by one of the partners.

8. Ask the partner whose assessment is being displayed to briefly (e.g. in two to five minutes) summarise their results and highlight one or two results that were especially significant for them.
    a. In new research partnerships it may be useful to organise one or two participants to share their results in advance of the meeting.

9. Ask other members of the group to discuss the results of the assessment for 5-10 minutes. Ask questions (see below for suggestions) to get people talking.

10. Repeat steps 7-9 until all assessments have been discussed.

11. Display the Partnership overview sheet.

12. Ask members of the group to discuss the results of the overview for 15-20 minutes. Ask questions (see below for suggestions) to get people talking.

13. As a final step, you may wish to make a list of proposed or decided changes, to roles and/or actions, that will be taken to enhance skills. Alternatively, a note taker could write down any proposed actions as the discussion occurs.

Suggested questions to explore when using the Skills and Roles Assessment Questionnaire tool

Individual partner assessments

- To what extent are the expected roles of the partner equitable? What could be done to increase equity in this partner's role allocation?

- How would changes in role allocation influence the effectiveness of the partnership (i.e. the ability to conduct the research rigorously and timeously)?

- How might skills development influence equity in role allocation, for example by enabling changes to partner roles?

- Are there any assessments that you disagree with? For example, you may think that a partner is more or less skilled than they have assessed or will/should play a smaller or larger role than they have indicated.

Partnership overview

- Which skills are duplicated in the partnership (indicated by very high overall scores)?
- Which skills are lacking (indicated by very low overall scores) How could these skills be developed within or brought into the partnership?
- Which roles are not adequately filled (indicated by very low scores)? What could be done to ensure these roles are filled?
- How equitable is the division of roles within the partnership?

Tips for using the Skills and Roles Assessment Questionnaire tool

- Use the tool to assess skills and roles at a partner (i.e. institutional) or individual (i.e. researcher) level.
- Use the tool with the understanding that any skills deficits are opportunities for building capacity.

Expected outputs and outcomes from using the Skills and Roles Assessment Questionnaire

Outputs

- Completed questionnaires outlining skills and roles of various partners or members of the partnership.

Outcomes

- Increased recognition of the skills that different partners bring to the partnership.
- Understanding of the skills needed to make the research partnership a success.
- Awareness of areas in which capacity strengthening might be required.

Completed example of the Skills and Roles Assessment Questionnaire tool

Download the Skills and Roles Assessment Questionnaire completed example.

The completed example shows scoring for a partnership involving three universities, one from a Globally Northern country (Australia) and two from middle income countries (Thailand and Kenya). The results of the completed assessment show that the Australian University intends to take on a major role in leading the partnership, writing grants proposals, and designing and authoring outputs of the research. This partner has all the necessary skills required to fulfil these roles.

Under-utilisation of skills: The Thai, and to a lesser extent the Kenyan university partners, also have considerable skills to contribute to research activities. These include grant writing and designing research, and yet, they play a limited role in these activities. This may be inequitable because participation in these academic tasks is often expected of authors of research outputs. On the other hand, the Australian partners' skills are underutilised for partnership activities that are time consuming, but get limited academic recognition, such as participant recruitment.

Possible inequities: Under-utilisation of the Globally Southern partners skills is one possible area of inequity. Another area of possible inequity is the major role that these universities play in project management, data collection and participant recruitment. These roles receive limited academic recognition and provide limited opportunities for career development.

Roles and skills mismatches: The Kenyan university is expected to play a considerable role in activities such as project management and student supervision, despite limited skills in this area. This indicates capacity building is required to ensure the Kenyan partner has the skills needed to fulfil their role. In the absence of capacity building, it would be inequitable to expect the partner to take on these roles. Taking on roles without adequate skills could be unreasonably challenging or time consuming, it could also negatively affect confidence and motivation of the partner.

References and further reading for the Skills and Roles Assessment Questionnaire tool

This tool is adapted from the Partnering Roles and Skills Questionnaire in: Tennyson, Ros, 2011. The Partnering Toolbook. https://thepartneringinitiative.org/wp-content/uploads/2014/08/Partnering-Toolbook-en-20113.pdf

Tool 8: SWOT Analysis

SWOT (Strengths, Weaknesses, Threats and Opportunities) is a classic analytical tool. It can be applied when examining equity across an entire research partnership or when developing a specific strategy that might be implemented within a partnership.

Why use the SWOT Analysis tool?

A SWOT analysis facilitates systematic thinking, about both the internal and external factors, that may influence equity. This tool addresses equity by:

1. Producing qualitative data about equity in the research partnership, identifying strengths that might be built on, and weaknesses that might be overcome.
2. Identifying external factors which influence equity in the partnership, but that research partners do not have the power to control or change.

When to use the SWOT Analysis tool?

Phase	Rating	Descriptions
Planning	•••	The SWOT Analysis tool is designed to be used at any stage of a research partnership.
Implementation	•••	The SWOT Analysis tool is designed to be used at any stage of a research partnership.
Dissemination	•••	The SWOT Analysis tool is designed to be used at any stage of a research partnership.
Sustaining	•••	The SWOT Analysis tool is designed to be used at any stage of a research partnership.

Ratings
••• Designed for this stage | •• Can be used as is in this stage | •Can be adapted for use in this stage

Equitable Research Partnerships Toolkit

Tool 8: SWOT Analysis

How long does it take to use the SWOT Analysis tool?

Rapid approach

- A SWOT can be rapidly utilised by an individual as a strategic planning exercise. This may take around 30 minutes.

Intensive approach

- Ideally, a SWOT analysis of equity would be conducted by a group, including representatives from each organisation in the partnership. This might take one to three hours, depending on the size of the group, and the stage of the research.

What resources do you need to use the SWOT Analysis tool?

- The SWOT matrix template
- A face-to-face or virtual meeting space and facilities for projecting (or screen sharing) the SWOT matrix
- A facilitator and notetaker

How to use the SWOT Analysis tool?

- Download the SWOT matrix template.
- Decide on a topic and/or introduce the topic of the SWOT analysis to the group. See below for suggested topics.
- Explain to participants that strengths and weaknesses are internal factors, characteristics of the partnership or partners for example, and that they can positively or negatively influence equity. Emphasise that because these factors are internal, they can be controlled by the partnership.
- Ask participants to share topic related ideas about the strengths and weaknesses of the partners or partnership.
- Enter the strengths and weaknesses into the SWOT matrix as they are discussed.
- Explain to the participants that opportunities and threats are external factors that positively or negatively influence equity. Emphasise that because these factors are external, they cannot be controlled by the partnership, but are nonetheless important to be aware of.
- Ask participants to share topic related ideas about opportunities and threats.
- Enter the opportunities and threats into the matrix as they are suggested.
- When the matrix is complete, ask participants to discuss the results of the SWOT analysis. See below for suggested questions.

Equitable Research Partnerships Toolkit

Tool 8: SWOT Analysis

Suggested questions and topics to explore using the SWOT Analysis tool

Topics

You could conduct a SWOT analysis about equity in the partnership overall or examine equity in a specific aspect/activity of the partnership. These could include:

- Participation in study design
- Co-authorship of research outputs
- Public and policy engagement activities
- Grant writing
- Postgraduate student teaching and supervision
- Sharing benefits resulting from the research
- Conference attendance

Questions

- Are there any internal strengths that are well matched with external opportunities?
- Are there any internal weaknesses that are exacerbated by external threats?
- What actions can be taken to exploit the partnerships internal strengths and the external opportunities available to the partnership?
- What can be done to overcome internal weaknesses and avoid external threats?

Tips for using the SWOT Analysis tool

- In advance of the SWOT analysis meeting, do some reading to familiarise yourself with different factors that influence equity in research partnership and how they might be addressed to maximise equity. Try one or more of the following readings:

    - ESSENCE and UKCDR (2022). *Four Approaches to Supporting Equitable Research Partnerships*. Available from: https://www.ukcdr.org.uk/resource/ukcdr-and-essence-2022-four-approaches-to-supporting-equitable-research-partnerships/

    - Faure, M. C., Munung, N. S., Ntusi, N. A., Pratt, B., & de Vries, J, (2021). Mapping experiences and perspectives of equity in international health collaborations: a scoping review. *International Journal for Equity in Health, 20*(1), 1-13. Available from: https://equityhealthj.biomedcentral.com/articles/10.1186/s12939-020-01350-w

- Horn, L., Alba, S., Blom, F., Faure, M., Flack-Davison, E., Gopalakrishna, G., Masekela, R, (2022). Fostering Research Integrity through the promotion of fairness, equity and diversity in research collaborations and contexts: Towards a Cape Town Statement (pre-conference discussion paper). Available from: https://osf.io/bf286/download

- Schroeder, D., Chatfield, K., Singh, M., Chennells, R., & Herissone-Kelly, P, (2019). *Equitable research partnerships: a global code of conduct to counter ethics dumping*: Springer Nature. Available from: https://link.springer.com/book/10.1007/978-3-030-15745-6

Expected outputs and outcomes from using the SWOT Analysis tool

Outputs

A completed SWOT analysis matrix, containing qualitative data about factors that might positively or negatively influence equity in a research partnership.

Outcomes

- Increased understanding that research partnership equity is a goal that is influenced by internal and external factors.
- Increased awareness of the factors that might influence equity within a specific research partnership.

Completed example of the SWOT Analysis tool

Download the SWOT Analysis completed example.

The completed example is based on a hypothetical Global North-South partnership that has been established for over five years. Partners considered the history of working together and existing agreements about how to work together strengths. However, the SWOT analysis also identifies weaknesses that have not yet been addressed, including a lack of infrastructure to enable, and agreements to guide, sharing data and other intellectual property resulting from the research. The partners have also identified opportunities and threats that stem from outside the partnership. These mainly relate to the availability of funding and expectations of research funders and publishers.

References and further reading for the SWOT Analysis tool

- This tool has been informed by Better Evaluation. SWOT Analysis. Available from: https://www.betterevaluation.org/methods-approaches/methods/swot-analysis

Tool 9: Partnership Vision, Strategy and Governance Questionnaire

The Partnership Vision, Strategy and Governance Questionnaire is designed to document an agreed vision for the research partnership and determine how this will be achieved. The questions posed help to create a focus and structure for documenting aspects of a partnership that influence equity. For example, governance and ownership of outputs.

Why use the Partnership Vision, Strategy and Governance Questionnaire tool?

Use the tool to create a written record of the partners' vision, both for what they want to achieve and how they wish to work together. This tool addresses equity by:

1. Drawing attention to potential inequities in research partnerships and encouraging shared acknowledgement of them.
2. Creating a written record of how a partnership will work in general, and how it will work to achieve equity. All partnership members can be held accountable to this.

When to use the Partnership Vision, Strategy and Governance Questionnaire tool?

Phase	Rating	Descriptions
Planning	•••	This tool is designed to be used in the planning stage of a research partnership.
Implementing	•	The tool could be adapted to focus on the partners' visions specific to the implementing stage.
Disseminating	•	The tool could be adapted to focus on the partners' visions specific to the disseminating stage.
Sustaining	••	The tool could be used to evaluate achievement of the vision, or to adapt the vision to a future phase of the partnership.

Ratings
••• Designed for this stage | •• Can be used as is in this stage | •Can be adapted for use in this stage

Equitable Research Partnerships Toolkit

Tool 9: Partnership Vision, Strategy and Governance Questionnaire

How long does it take to use the Partnership Vision, Strategy and Governance Questionnaire tool?

Rapid approach

- To rapidly implement this tool, compile strategy and governance documents that are already in place. This might take 30-60 minutes.

Intensive approach

- A more intensive approach might involve bringing partners together, in a face-to-face or virtual meeting space, and asking them to develop the vision, strategy and governance documents that the questionnaire investigates. This approach might require a half or full-day workshop.

What other resources do you need to use the Partnership Vision, Strategy and Governance Questionnaire tool?

- Partnership vision and strategy questionnaire template
- Face-to-face or virtual meeting space
- Facilitator and notetaker
- Stationery, such as poster papers and marker pens (face-to-face) or whiteboard app (virtual).

How to use the Partnership Vision, Strategy and Governance Questionnaire tool?

1. Download the Partnership Vision, Strategy and Governance Questionnaire template and display it using a projector or screen sharing facility.

2. Ask representatives from each partner institution to spend 10-15 minutes writing down their institution’s vision, considering both the best and worst-case scenarios (questions 1-3). Representatives from the same institutions should work together.

3. Ask a representative for each partner to share the vision, and the best and worst-case scenarios. The note taker should enter the information into the template as it is shared.

4. As a single group (if there are six or less people), or in several small groups (if there are more than six people), discuss how the partners will work together to achieve the different partners' visions. As ideas are raised and/or points are agreed, the notetaker should record these in the template (if there is more than one group, each should have a notetaker).

5. Ask participants in the workshop to answer questions 5-14 of the questionnaire- the possible answers are all yes or no.

6. For questions answered 'Yes', identify an existing written document to attach to the questionnaire or:
    - Discuss and develop the description that should be entered in the workshop OR
    - Discuss and nominate a person to write-up the description and circulate for feedback after the meeting.

7. Discuss the results of the questionnaire. It may be useful to ask questions to stimulate discussion (see below for suggestions).

8. Circulate the questionnaire to all partners and provide an opportunity for partners to add content or to make amends.

9. Once the questionnaire is finalised, save it as a record of the agreed vision and strategy.

Suggested questions to explore when using this Partnership Vision, Strategy and Governance Questionnaire tool

Primary questions

- See Partnership Vision, Strategy and Governance Questionnaire template for the primary questions.

Additional questions

- To what extent are the partners' visions aligned and/or complimentary?
- What gaps exist in the partnership strategy and/or governance mechanisms?
- What could be done to fill these gaps?
- Do the gaps affect one partner more than others? In what way? How does this influence equity?

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Tool 9: Partnership Vision, Strategy and Governance Questionnaire

Tips for using the Partnership Vision, Strategy and Governance Questionnaire tool

- Use the completed questionnaire as a point of reference, and to inform monitoring and evaluation or for other purposes.
- Check with your institution's research office for sample agreements such as Memoranda of Understanding or Intellectual Property agreements. These could be completed and attached to the questionnaire.

Expected outputs and outcomes from the Partnership Vision, Strategy and Governance Questionnaire tool

Outputs

- A completed copy of the Partnership Vision, Strategy and Governance Questionnaire.

Outcomes

- Increased understanding of each partners' vision and the strategy and governance mechanisms that will be employed to collectively work towards these.

Completed example of the Partnership Vision, Strategy and Governance Questionnaire tool

Download the [Partnership Vision, Strategy and Governance Questionnaire completed example].

The completed example illustrates an early-stage partnership between one Globally Northern University and two from the Global South. The partners have made many general commitments (e.g. to sharing data and joint decision making). However, they have not yet developed formal written agreements and intend to do this as funding for research projects is received. In this partnership, it would be important for the partners to periodically revisit the questionnaire, as and when further written agreements to guide the partners' work and strategy are put in place.

References and further reading for the Partnership Vision, Strategy and Governance Questionnaire

- This tool is adapted from: Afsana, K., Habte, D., Hatfield, J., Murphy, J., & Neufeld, V. (2009). Partnership Assessment Toolkit. Retrieved from https://cagh-acsm.org/sites/default/files/pat_ccghr_regular.pdf

Tool 10: Imagining and Understanding Equitable Research Impact

This tool is designed to instigate thinking and analysis around the equity implications of any changes that might occur due to a research partnership, or a research project implemented by a partnership. Academics face increasing pressure to translate their scientific research results into impact. This is normally things like policy and/or programmatic change that will consequently lead to positive social change. Research and research partnering is assumed to have positive impacts, such as capacity strengthening, but may also have unintended (negative) impacts for the researchers involved, research communities and/or broader society.

Why use the Understanding Equitable Research Impact tool?

The nature and extent of impact within a research partnership or project will have important equity implications. This tool addresses equity by:

1. Increasing awareness of who may benefit, or who may experience negative consequences, as a result of a research project or partnership.
2. Enabling researchers to plan to maximise the positive, and minimise the negative impacts, of a research partnership or project, and to ensure that the positive impacts are equitably distributed.

When to use the Understanding Equitable Research Impact tool?

Phase	Rating	Descriptions
Planning	•••	The Imagining and understanding impact tool is designed to be used in the planning stages, when decisions that will influence the nature and extent of impact are being made.
Implementing	••	The tool can be used to think about impacts specific to the implementing stage.
Disseminating	••	The tool can be used to think about impacts specific to the disseminating stage.
Sustaining	••	The tool can be used to understand past, or imagine future, impact in the sustaining phase of a research partnership.

Ratings
••• Designed for this stage | •• Can be used as is in this stage | •Can be adapted for use in this stage

How long does it take to use the Understanding Equitable Research Impact tool?

Rapid approach

- An individual could rapidly create a mind map of potential impact in 20-30 minutes.

Intensive approach

- A group-based approach to developing a mind map of potential impact, and discussing the equity implications, would require a two-to-three-hour meeting.

What other resources do you need to use the Understanding Equitable Research Impact tool?

- Research Impact Concept Map
- Face-to-face or virtual meeting space, with breakout room facility
- Facilitator and/or notetaker
- Stationery, such as pens and poster papers, or an online whiteboard app such as Miro

Tool links for the Understanding Equitable Research Impact tool

Before using this tool, it might be useful for the facilitator and/or participants to read one or more of the following resources:

- What is research impact (York University)
- Defining Impact (United Kingdom Research and Innovation)
- Conceptualizing the elements of research impact: towards semantic standards (Nature)

How to use the Understanding Equitable Research Impact tool?

For virtual and face-to-face implementation:

- Access the Research Impact Concept Map.

- Create a copy of the template in your Miro dashboard.
    - Click the Miro logo in the top left section of the screen to navigate to the dashboard view.
    - Click the three dots button in the top right corner of the Research Impact Concept Map Template board and select duplicate.
    - Select the 'Owned by me' option from the drop-down list (to the right of Boards in this team).

- Adapt the template to suit your purpose, for example by entering the name of a specific research partnership or project or modifying the impact types.
    - If you'd rather use a different electronic whiteboard app, replicate the template using your preferred app.
    - If you are implementing face-to-face, recreate the Concept Map template on poster paper.

- If you intend to have multiple groups, create copies of the template for each group. Create different impact concept maps in the workshop.

- Convene the group in your face-to-face or virtual meeting space.

- Introduce the concept of research (partnership) impact and allow participants time to discuss their understanding of his.
    - Research impact is broadly defined as the real-world changes that occur because of the research process and/or results. The background reading suggested above provide more detailed definitions, which could be used in the introduction.

- Introduce the focus of the impact assessment. You could focus on the impact of a research partnership process or a research project that will be implemented through a research partnership.

- Display the mind map template and discuss the different categories (e.g. policy, scientific) that the impact is to be divided between. Modify the template to include any additional required impact categories and remove any redundant ones.

- Ask participants to imagine any impact that might occur, because of the research partnership or project, and identify the category into which this fits. Add ideas to the mind map as they are raised.
    - If there are more than six to eight participants, break into smaller groups (breakout rooms for virtual implementation), each of which will develop a mind map.
    - Encourage participants to think broadly and creatively and identify the likelihood of specific impact occurring.

- If participants were split into groups, reconvene as a single group.

- Display the completed mind map/s.

- Ask participants to discuss the equity of some of the impact (see below for suggested questions). The amount of discussion that takes place will depend on the time available. Expect to need around five minutes to discuss of each specific impact.

- Ask participants to discuss how equity might be optimised (see below for suggested questions).

Suggested question to explore using this Understanding Equitable Research Impact tool

- For specific impact:
    - Who benefits?
    - Who does not benefit or is disadvantaged?
    - How important is this impact?
    - What needs to be done to ensure the research (partnership) generates this impact?
    - Which individuals and groups need to be involved in planning the research to maximise the likelihood of this impact occurring?
    - How should research results be communicated to maximise this impact? With which individuals and groups? Using which forums or media?

- What is being done to ensure positive impact occurs for less powerful people, including those affected by the research focus, and academics in the Global South?
    - What else could be done?

- Thinking about the specific types of impact identified:
    - Which ones are most feasible in this research partnership?
    - Which ones are most important for achieving equity?

- What unintended impact might occur? What would be the equity implications of this unintended impact?

- What would equitable impact from this project look like?

Tips for using the Understanding Equitable Research Impact tool

- Take a break for refreshments, between creating the mind maps, and discussing the equity implications.

- Use the results of the discussion to think about items that might be included in a research costs list [see Tool 12 in Section 4].

Expected outputs and outcomes from using the Understanding Equitable Research Impact tool

Outputs

- Implementing this tool will produce one or more mind maps detailing the potential impact of the research partnership or project.

Outcomes

- Implementing this tool will increase awareness of the scale and range of intended and unintended impact of the research project or partnership and the equity implications of this impact.

Completed example of the Understanding Equitable Research Impact tool

Download the completed example.

The completed example details the potential impact of dementia research in Southern Africa. There have been some cases in South Africa of people associating Symptoms of dementia, such as wandering and disinhibition, with witchcraft. The research will be implemented through a Global North-South partnership and will focus on assessing dementia prevalence and caregiving in a rural community. The prevalence study will involve the development of a novel software application, to collect data from cognitive tests designed to predict dementia, as well as funding for the related infrastructure for data collection, storage and management. The caregiving study will involve quantitative and qualitative assessment of how and who cares for people with dementia and the support needs of sufferers and their caregivers.

As there is limited knowledge about dementia prevalence in low- and middle-income countries (LMICs), the research is expected to improve scientific knowledge about dementia prevalence and caregiving, as well as advancing methods of measuring dementia in research in LMICs. It may also contribute to developing theories of caregiving.

The research is intended to influence policy and practice, for example to draw attention to dementia and the education and support needs of people living with or affected by dementia. This might impact on understanding and awareness among health professionals and community members.

Conducting the research in a Global North-South partnership is expected to enable capacity building and to increase access to resources for the academics in the South African university. The research partnership has received funding to develop new infrastructure at the South African institution to collect, manage and store data for the project. These are all positive impacts. However, participating in the research partnership and project might have the unintended negative consequence of increasing the workload of academics in South Africa, or diverting outstanding academics away from teaching and into full-time research positions, affecting the quality of teaching programs.

For research participants, positive impacts include free access to health care and tokens of appreciation for participation, which are provided as part of the research. However, there is potential for a negative impact for participants and study communities, such as feeling burdened by research, jealousy (e.g. from people who are not participating but want access to free health care) and/or stigmatisation which may occur because of the dementia stigma that exists for some and the associations with witchcraft.

References and further reading for the Understanding Equitable Research Impact tool

Development of this tool was informed by:

- Belcher, B., & Halliwell, J. (2021). Conceptualizing the elements of research impact: towards semantic standards. *Humanities and Social Sciences Communications, 8* (1), 183. doi:10.1057/s41599-021-00854-2
- Better evaluation. Concept mapping. Available from: https://www.betterevaluation.org/methods-approaches/methods/concept-mapping

Tool 11: Emancipatory Boundary Critique

Boundary judgements are assumptions, formed through observations and evaluations, as to what is considered relevant to the study of an issue, and consequently should be included in the definition of the problem at hand, as distinguished from what may be left out.

In the context of research partnerships, boundary judgements include assumptions about how research might best be done, who should do what within a research partnership, and what equity (or partnership) might 'look like'. Accordingly, the Emancipatory Boundary Critique tool aims to promote reflective and dialogical practices regarding such assumptions. It looks to support the less powerful (often Globally Southern) members of a research partnership in critiquing and revealing assumptions that underlie the 'boundaries' of a research project and/or partnership.

Research boundaries are heavily influenced by inequitable histories, including histories of colonisation, during which scientific or 'expert' knowledge was considered superior to practical (Indigenous) knowledge. However, there is increasing awareness that recognising different types of knowledge equally, is a prerequisite for both excellence and equity in research partnerships.

Why use the Emancipatory Boundary Critique tool?

Using the Emancipatory Boundary Critique tool addresses equity by:

1. Opening-up ideas, put forward by Globally Northern research partners, to critique by Globally Southern research partners.

2. Optimising socio-cultural appropriateness of research methods and tools, so that they are fairer to research participants and/or frontline workers.

3. Situating different types of knowledge as equally valid and 'expert' knowledge as imperfect and in need of lay critique.

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Tool 11: Emancipatory Boundary Critique

When to use the Emancipatory Boundary Critique tool?

Phase	Rating	Descriptions
Planning	•••	This tool is ideal to use in the **planning** stage of a research partnership, when decisions are being made about roles and responsibilities, research questions, study design and resource allocations.
Implementing	••	Emancipatory boundary critique can also be effectively used, to interrogate proposed solutions to problems that arise during research **implementation**.
Disseminating	••	This tool might be used to critique actions or strategies proposed for **disseminating** research results.
Sustaining	•••	In the **sustaining** phase of a research partnership, use emancipatory boundary critique to discuss solutions proposed to overcome problems that arose in earlier stages of the partnership.

Ratings
••• Designed for this stage | •• Can be used as is in this stage | •Can be adapted for use in this stage

How long does it take to use the Emancipatory Boundary Critique tool?

The time required to use this tool effectively will depend on the nature of the boundaries being interrogated, the number of people involved in the critique, and the depth of the discussion.

<u>Minimalist approach</u>

- A single idea, such as a solution to a research problem, could be critiqued through a 30–60-minute group discussion.
- Partners from the Global Northern might ask themselves the Emancipatory Boundary Critique questions to improve self-understanding of their assumptions.

Intensive approach

- To critique a substantive idea, such as a study designed by Globally Northern partners, the tool might best be implemented through a half or full-day workshop.

What other resources do you need to use the Emancipatory Boundary Critique tool?

- Emancipatory Boundary Critique matrix template
- Face-to-face or virtual meeting space

Tips for using the Emancipatory Boundary Critique tool

To prepare for using this tool, it might be useful for the facilitator/coordinator and/or participants to read:

- Ulrich, Werner. 2005. "A mini-primer of boundary critique." Werner Ulrich's Home Page. https://wulrich.com/boundary_critique.html

How to use the Emancipatory Boundary Critique tool?

- Introduce the 'object'" of the boundary critique, which will usually be an idea or proposed solution, related to the research partnership or topic. For example:
    - The research partnership as a whole.
    - Research topics or questions.
    - Study designs.
    - Research budgets.
    - Divisions of roles and responsibilities.
    - Strategies proposed to overcome problems encountered in the field.
    - Strategies for achieving research impact.

- Explain that all 'objects' have boundaries, which are determined by boundary judgements. The boundary judgments people make are determined by their:
    - Selective consideration of observations or 'facts'- only some observations will be considered, while others are excluded.
    - Valuation of what they observe or consider a fact.

- Explain that like all other objects, the boundaries of the object of your critique (e.g. the research partnership), are based on selective consideration of facts and selective evaluation of those facts. Considering alternative observations and/or valuations can reveal new possibilities to enhance, and assumptions that limit, equity.

- Ask participants to discuss the five questions in the Emancipatory Boundary Critique matrix (also listed below). This could occur in one group, or if there are more than six participants, in small separate groups.

- Complete the matrix as the discussion occurs.

- At the end of the discussion, consider if any of the alternative judgements, observations or valuations should be adopted. Change the object (e.g. research partnership) as required.

Suggested questions to explore when using the Emancipatory Boundary Critique tool

- What boundary judgements (assumptions) are embedded in this idea/object?
- What observations are these boundary judgments based on?
- What valuations are the boundary judgments based on?
- What alternative observations, valuations and judgments are possible?
- What are the equity implications of these assumptions?

Tips for using the Emancipatory Boundary Critique tool

- Critique is sometimes confronting. Keeping an open mind and holding a positive, learning-oriented attitude is essential if participants are to get the most out of the Emancipatory Boundary Critique tool.

Expected outputs and outcomes from using the Emancipatory Boundary Critique tool

<u>Outputs may include</u>

- Dialogue about the underlying assumptions and possible consequences of a research solution.
- Modified research designs.
- Redistribution of resources.
- Fresh allocation of roles and responsibilities.

Equitable Research Partnerships Toolkit

Tool 11: Emancipatory Boundary Critique

Outcomes

- Using this tool should lead to improved understandings between partners, including better understandings of the importance of local knowledge and expertise that is contributed by Southern partners.

Completed example of the Emancipatory Boundary Critique tool

Object of critique (download the completed example)

Research topic suggested by the Northern partner: "How can pro-social behaviour be fostered to enhance entrepreneurship in a rural African community?"

Boundary judgements, observations and valuations

What boundary judgements (assumptions) are embedded in this idea/object?	What observations are these boundary judgments based on?	What valuations are the boundary judgments based on?	What alternative observations, valuations and judgments are possible?	What are the equity implications of the boundary judgments?
1. There is not enough prosocial behaviour in the rural African community.	• Limited entrepreneurship in rural Africa	• People in the rural African community are not pro-social enough	• Africans are already pro-social.	• The judgement assumes deficits in the Southern. This is inequitable and could be psychologically harmful to the community (e.g. they may internalise the negative connotations).

2. Pro-social behaviour determines an entrepreneurship intervention's success.	• Entrepreneurial success is linked to pro-social behaviour, in Europe	• Associations observed in Europe are valid in Africa	• Enhancing entrepreneurship requires high level funding and support.	• This is inequitable because it places the onus for success on the individuals who should benefit, rather than governments that have a responsibility to provide for their citizens' livelihoods.
3. Entrepreneurship is the best solution to poverty in rural Africa.	• Unemployment is high • Governance is poor	• People need to help themselves because African governments are not helping their populations.	• Government needs to help the people make a living	• This assumption situates individualistic solutions as best and side lines other possible solutions such as job creation, that may be more effective or acceptable to the rural African populations the study results will impact upon.

References and further reading for the Emancipatory Boundary Critique tool

- This tool has been adapted to the research partnerships context from https://naturalsciences.ch/co-producing-knowledge-explained/methods/td-net_toolbox/emancipatory_boundary_critique_final_ and Ulrich, Werner. 2005. "A mini-primer of boundary critique." Werner Ulrich's Home Page. https://wulrich.com/boundary_critique.html

Equitable Research Partnerships Toolkit

Tool 12: Research Costs Listing

Tool 12: Research Costs Listing

Research is typically funded through specific grants which always cover the direct costs of research such as transport, consumables and research staff salaries. However, the full cost of doing research in a Global North-South partnership includes indirect costs such as those related to developing the partnership, renting or using facilities, and/or paying salaries of non-research staff (e.g. administrative).

All research institutions need to account for and recover these costs in research budgets. But unlike universities in the Global North, universities and research institutions in the global South rarely receive funding from their governments to cover indirect costs of doing research. Therefore, before applying for funding, it is important to integrate all projected direct and indirect in a research project budget calculation.

Why use the Research Costs Listing tool?

Use this tool to identify the full range of costs that may be involved in implementing research through a partnership. This tool addresses equity by:

1. Explicitly identifying the full range of costs involved in participating in a research partnership or project. This is especially helpful for institutions and researchers from the Global Southern.
2. Increasing the likelihood that Globally Southern institutions will be able to recover the full cost of doing research.

When to use the Research Costs Listing tool?

Phase	Rating	Descriptions
Planning	••	The tool may be used in the planning stage of a research partnership, to understand the costs involved in developing and maintaining the partnership.
Implementing	•••	The tool is designed to be used in the implementing stage, where partners may be designing research projects and preparing budgets for funding applications.
Disseminating	•	The tool could be adapted for use in the disseminating stage, to examine the costs involved in disseminating research results.

Equitable Research Partnerships Toolkit

Tool 12: Research Costs Listing

Sustaining	•••	The tool is also intended to be used in the sustaining phase to identify costs that will need to be covered in future research projects.
Ratings ••• Designed for this stage | •• Can be used as is in this stage | •Can be adapted for use in this stage		

How long does it take to use the Research Costs Listing tool?

<u>Rapid approach</u>

- The tool could be used by an individual or small group, to rapidly brainstorm the costs involved in research, in as little as 15-30 minutes.

<u>Intensive approach</u>

- A meeting of two to three hours would be required for a group to develop a comprehensive list of the costs involved in developing a research partnership, and/or implementing a research project, and discussing the equity implications of research costing.

What resources do you need to use the Research Costs Listing tool?

- Research Costs Information slides
- Research Costs List template
- Face-to-face or virtual meeting space
- Facilitator and notetaker
- Stationery or electronic devices for developing research cost lists

Tips for using the Research Costs Listing tool

You may wish to read Five keys to improving research costing and pricing in low- and middle-income countries as background to prepare for using this tool.

- It may be useful to see the following examples of eligible and ineligible costs from research funders:
  - Wellcome Trust (click the "What we offer" link)
  - Science for Africa Foundation
  - Foreign, Commonwealth and Development Office

- Budget templates provide insights into how funders may request a budget to be prepared. However, while looking at examples, remember that funders typically have their own budget templates and often require budgets for research funding applications to be prepared using these:
  - International Growth Centre Budget template
  - Foreign, Commonwealth and Development Office
  - United Nations Economic and Social Commission for the Asia Pacific

How to use the Research Costs Listing tool?

- Download and display the Research Costs Information slides.

- Present the three slides which detail:
  - Definitions of direct and indirect costs
  - Examples of direct and indirect cost categories and items

- Display the Research Costs List template using a projector (face-to-face implementation) or screen sharing facility (virtual implementation)

- If there are more than eight participants, it might be useful to split into smaller groups (use breakout rooms if implementing virtually). Different groups may look at direct or indirect costs, or specific cost categories, or each group may consider all the costs and compare the costs they came up with.

- As participants share potential costs involved in establishing a research partnership and/or implementing a research project:
  - Discuss whether each suggested cost is a direct or indirect cost, and which cost category it fits within.
  - Enter a description of each cost into the corresponding sections of the Research Costs List.

- Highlight (e.g. place and asterisk or use a different colour text) any costs for which the category is not clear. You can then discuss these with a research manager or funder.

- When all the costs have been categorised and listed, ask participants to discuss the equity implications of recovering, or not recovering, either the full cost of research overall, or for particular items on the list. See below for suggested questions.

Suggested questions to explore when using the Research Costs Listing tool

- Who would benefit, and who would lose, if this cost was not recovered through the research budget?
- What are the equity implications of not recovering this cost through the research budget?
- Have costs for translating research results into positive social impacts been listed? What are the equity implications of recovering these costs?

Tips for using the Research Costs Listing tool

- Use the completed research costs list to:
  - Prepare a budget for a grant application. Seek assistance from research managers or the research office, if these are available at your institution.
  - Start a conversation with research funders about the full cost of doing research.

Expected outputs and outcomes from using the Research Costs Listing tool

<u>Outputs</u>

- Implementing this tool will produce a comprehensive list of the costs involved in developing a research partnership and/or project.

<u>Outcomes</u>

- Increased awareness of the range of indirect costs involved in doing research.
- Improved recovery of indirect research costs in grant funding.

Completed example of the Research Costs Listing tool

The completed example lists costs anticipated by research partners who intend to conduct a study of mosquito genetics to inform malaria prevention interventions. The partners have listed all anticipated costs and used red text to highlight costs that they were not sure how to categorise.

In the discussion about the equity implications of unrecovered costs, the partners highlighted that it would be inequitable not to recover any of the indirect costs. For example, not covering the costs of finances and procurement would mean that additional staff could not be hired, and that existing staff would be overworked. The finances and procurement work would not be done in a timely or proper manner.

The partners based in the Global South also highlighted the potential inequities in not funding the direct costs of developing laboratory infrastructure. In the absence of funding for these direct costs, it would not be possible for the genetic testing to be performed at the Globally Southern institution nor for their academics to develop testing skills and/or conduct the tests themselves. Data (mosquito samples) could not be stored at the Southernly institution. This would be inequitable because it would mean much of the intellectual work involved in the research project, and the intellectual property resulting from it, would be done/ owned, by the Globally Northern Institution.

References and further reading for the Research Costs Listing tool

- Development of this tool has been informed by: ESSENCE, on Health Research, 2020. *Five keys to improving research costing and pricing in low- and middle-income countries- ESSENCE Good Practice Document*. Retrieved from https://tdr.who.int/docs/librariesprovider10/essence/essence-fivekeys2nded2020-pdf.pdf?sfvrsn=9f37e717_8&download=true

Tool 13: Reflection Sessions for Managing Ethical Dilemmas of Frontline Research Staff

This tool, referred to in the text below as the 'Reflection tool', facilitates an in-person, group-based approach to identifying, discussing and developing strategies for optimally addressing ethical dilemmas. It can also assist with other challenging dilemmas faced by frontline research staff.

In international research partnerships, frontline research staff (often called fieldworkers or data collectors) are typically the interface between academic researchers and research participants. They are often recruited from the local community and can be the lowest paid, and least powerful workers, in a research partnership. Their roles are crucial though. The data they collect is the primary foundation of a research project.

Frontline workers' roles normally require them to come face-to -ace with research participants, whose lived realities often include significant challenges. In these conditions, research participants may have expectations of frontline workers that differ from the expectations of the research institutions they work for. Frontline workers play a central role in building and maintaining relationships with research participants and communities and managing community members' expectations.

Practical, ethical dilemmas are situations in which the best course of action is not clear. Two illustrations of this are a differing of expectations between research participants and the research institution and a lack of resources constraining researchers from doing what they believe to be morally right. For example, research institutions often have policies that prevent frontline researchers assisting research participants. However, a frontline worker may feel morally obligated to give a hungry research participant food.

In morally challenging situations, frontline research staff can end up feeling that they do not know what to do, worrying that the course of action they have chosen is morally wrong or will not be accepted by either the research participant or their employer. The Reflection tool initiates sessions that help research teams to document, acknowledge, and develop strategies to manage the dilemmas that might arise for frontline research staff. On top of that, the tool also guides teams in creating a supportive space for safely discussing difficult ethical situations faced in their day-to-day work.

Why use the Reflection tool?

Field workers may take on an inequitable burden of stress and responsibility for responding to ethical and practical dilemmas. Even when dilemmas cannot be resolved, providing a space to discuss them can help share the burden and increase equity between junior LMIC

(Low-and-Middle-income countries) and senior (often, but not always, high-income countries HIC) researchers in the partnership.

This tool also helps teams navigate the frequent inequities between staff and participants from local communities. While they are often from the same community, frontline research staff may be seen as having an important job or education, thereby creating strong obligations to assist fellow community members with basic needs, like money, food, or transport to the hospital.

Reflection sessions are not an alternative to providing frontline workers with fair salaries, working conditions and opportunities for career progression. However, sharing the burden, and working to manage and reduce frontline workers' dilemmas, is a way of enhancing equity between frontline and office-based/remote research staff, when other structural initiatives to address equity are in place. Using the tool is also likely to improve research rigour, for example by helping field workers capture better quality data and improve response rates.

This tool addresses equity by:

1. Increasing senior (often HIC) field researchers' awareness of the kind of challenges and dilemmas faced by frontline staff, and highlighting the need for them to assist these staff in working through these dilemmas.

2. Increasing support for, and reducing the burden on, frontline research staff.

3. Enhancing ethics of research for participants in LMICs, who are often negotiating multiple livelihood challenges.

When to use the Reflection tool?

Phase	Rating	Descriptions
Planning	•	The tool may be adapted for use in the **planning** stage of a partnership, for example to reflect on expected dilemma scenarios and develop strategies for mitigating and/or managing dilemmas.
Implementing	•••	The tool is designed primarily for regular use in the **implementing** stage.

Disseminating	•	The tool may be adapted to reflect on dilemmas that arise during the **disseminating** and impact phase.
Sustaining	•	Data collected using the tool could be used for evaluating the process and/or outcome in the **sustaining** phase of a research partnership.

Ratings
••• Designed for this stage | •• Can be used as is in this stage | •Can be adapted for use in this stage

How much time is needed to use the Reflection tool?

- Field workers may spend just a few minutes per day, or significantly longer, completing personal diaries.
- In a two-hour reflection session, expect to have time to reflect lightly on many issues and on 2-4 dilemmas in-depth.
- Reflection sessions should ideally occur regularly, for example, bi-weekly or monthly.
- Where funding for reflection sessions has not been included in the budget, less frequent sessions, occurring as often as feasible, will still be useful.

What other resources do you need to use the Reflection tool?

- A skilled facilitator who has good knowledge of the institution and research context.
- A dedicated meeting space, where participants can talk without being overheard by 'outsiders'. Field workers will typically be in the same physical location and not need to meet virtually. However, a virtual meeting could be convened to enable field workers from different sites to reflect, or to enable remote staff to join the reflection session.
- Refreshments to create an informal environment. If sessions last more than two hours, take a refreshment break.
- Hexagonal model of different potential sources of action [available from: https://gh.bmj.com/content/bmjgh/6/7/e004937/F2.large.jpg].
- Resources for documenting the meeting, for example a nominated person to transcribe notes on the proceedings.

Equitable Research Partnerships Toolkit

Tool 13:

Reflection Sessions for Managing Ethical Dilemmas of Frontline Research Staff

Tips for using the Reflection tool

- To facilitate open and honest reflection on dilemmas, sessions must occur in a 'safe space', where participants feel assured that they will not be blamed or punished. To develop such a space:
    - Allow anonymous submission of dilemmas.
    - Encourage thoughtful reflection, on the structural factors that contribute to the dilemma, and avoid blaming individual workers.
    - Do not punish front line workers for dilemmas they encounter.

- Include regular field worker reflection meetings in the research partnership action plan.

- Request funds for reflection meetings in the research budget, including frontline and senior research staff time, meeting spaces, refreshments, facilitators and stationery.

- Document the reflection sessions as a source of data for monitoring and evaluation.

The following resources provide more detailed information on the development and use of the tool:

- Video: On the frontline: social science researchers from the REACH team share their experiences of navigating the hidden ethical challenges in their work

- Research Article: Model for developing context-sensitive responses to vulnerability in research: managing ethical dilemmas faced by frontline research staff in Kenya

How to use the Reflection tool?

- Provide frontline research staff with diaries in which they can record the dilemmas that arise in their work.

- Ask these staff to anonymously submit one or more dilemmas in advance of each reflection session. Anonymous submission might occur via an online portal or a physical drop box. This step is optional. It may not be necessary if staff feel confident to speak openly about their dilemmas in the reflection session.

- For each dilemma shared, provide time and space for all participants to reflect on the dilemma. To stimulate reflections, the facilitator should pose questions (see below for suggested questions).

- Reflections could take place via:
    - Small group discussions - Provide 15-30 minutes for groups of three to six participants to discuss questions.
    - Role plays - Provide 15-30 minutes for groups of three to six participants to develop a role play about the dilemma. Each group then acts out their play and the entire group discusses the issues raised.

- Reconvene the entire group and share suggestions for actions to be taken.

- Decide on the best course of action and identify who should act.

Suggested questions to explore when using the Reflection tool

These questions are based on those suggested in the ethics reflection tool.

- What happened that led to the frontline worker's ethical or practical dilemma?
- How urgent or serious is the dilemma?
- How is the dilemma related to the research (e.g. caused by, revealed by, background to)?
- How much capacity is there to help a person in need?
- How much capacity is there for the aid to be harmed?
- Who is the best person to help?
- What are the possible implications of intervening for the research study or research institution?

- What level of action is required (refer to the five levels of action in the ethics reflection tool)?
    - Level 1 - Nothing specific beyond sharing and acknowledging the dilemma.
    - Level 2 - The sharing leads to agreed approaches to dealing with similar dilemmas in the future.
    - Level 3 - Study level changes, for example to the protocol or standard operating procedures are required.
    - Level 4 - Institutional level changes, for example to policies and procedures, are required.
    - Level 5 - Regional, national or international changes, for example to national research ethics guidelines, are required.

- What might be the unintended consequences of acting, or not acting, in different ways?
  - For research participants?
  - For families?
  - For health and social services and/or systems?
  - For colleagues?
  - For science and learning?

Completed example of the Reflection tool

Dilemma

During a research encounter, a field worker is offered food by a participant in a food insecure household. The field worker who regularly visits this household to collect data for a longitudinal study. As they are a member of the same community as the participant, the field worker knows that people are culturally expected to accept food when it is offered, and that it can be considered rude to reject food. However, they also suspect that the family do not have enough food for themselves, and that the offering of food is influenced by cultural norms.

Discussion

The following points were raised in the discussion:

- Accepting food might:
  - Show respect.
  - Require additional time that distracts the field worker from other participants.
  - Build trust and rapport.
  - Influence the participant to think they should prepare food for future research encounters.
  - Seem unprofessional.

- Rejecting the food or offering compensation (e.g. payment) for it might:
  - Be considered rude if the rejection was not polite and thoughtful.
  - Lead to the food being wasted.

Decision

The dilemma is partly caused by the research, because the food is offered in the context of a research encounter (the field worker's visit to the house). Because the offering of food occurred in the context of research, participants generally agreed that it was appropriate for the field worker to break cultural norms and reject the food, so long as they did so politely. For example, they could tell the participant that they are unable to eat with them because of other work commitments or not allowed to accept food because of workplace policies.

The field worker is the key person who needs to act in this situation. Researchers and managers could also act by introducing policies and procedures that guided the field worker's actions (e.g. a policy instructing field workers not to accept food).

Acknowledgements, references and further reading for the Reflection tool

Work shared in this document was supported by a Wellcome Trust / Newton Fund-MRC Humanities & Social Science Collaborative Award 200344/Z/15/Z (PI, Kelley), and by the Bill and Melinda Gates Foundation awarded to the CHAIN Network (grant: OPP1131320; PIs Berkley and Walson).

- This tool is based on the model developed at an international research site in Kenya and presented in Molyneux, Sassy, Priya Sukhtankar, Johnstone Thitiri, Rita Njeru, Kui Muraya, Gladys Sanga, Judd L. Walson, James Berkley, Maureen Kelley, and Vicki Marsh. 2021. "Model for developing context-sensitive responses to vulnerability in research: managing ethical dilemmas faced by frontline research staff in Kenya." *BMJ Global Health* 6 (7): e004937. https://doi.org/10.1136/bmjgh-2021-004937.
- The completed example is based on a dilemma reported in Kamuya, D. M., Theobald, S. J., Munywoki, P. K., Koech, D., Geissler, W. P., & Molyneux, S. C. (2013). Evolving friendships and shifting ethical dilemmas: fieldworkers' experiences in a short-term community-based study in Kenya. *Dev World Bioeth, 13*(1), 1-9. doi:10.1111/dewb.12009

Equitable Research Partnerships Toolkit

Tool 14: Research Partnership Agreement Template

Tool 14: Research Partnership Agreement Template

The research partnership agreement is a modifiable template for documenting intentions, processes and commitments that have been agreed upon for a research partnership. Partnership agreements developed using the template are intended to be dynamic and are not intended to be legally binding. The Research Partnership Agreement is not intended to replace agreements between partners which relate to, and may be requirements for, specific, funded research projects.

Why use the Research Partnership Agreement Template?

Use this tool to create a written agreement that documents the roles and responsibilities that different partners have agreed to. This tool addresses equity by:

1. Making explicit agreements and commitments between all partners and creating a record to which partners can refer.
2. Increasing transparency and accountability.

When to use the Research Partnership Agreement Template?

Phase	Rating	Descriptions
Planning	•••	The Sample Partnership Agreement tool is intended to be used in the **planning** stage.
Implementing	•	The tool could be adapted to focus on agreements in the **implementing** stage.
Disseminating	•	The tool could be adapted to focus on agreements in the **disseminating** stage.
Sustaining	•••	In the **sustaining** stage, an initial agreement could be examined and revised for the next partnership phase.

Ratings
••• Designed for this stage | •• Can be used as is in this stage | •Can be adapted for use in this stage

The Association of Commonwealth Universities

Equitable Research Partnerships Toolkit

Tool 14: Research Partnership Agreement Template

How long does it take to use the Research Partnership Agreement Template?

Rapid approach

- The quickest way to use this tool is to have a nominated person draw-up a draft agreement, using existing documentation or informal discussions, as the base for its content. The draft should then be circulated to all partners for comments and modifications. This might take the nominated person one to three hours, and each reader approximately 30 minutes.

Intensive approach

- A more intensive approach would be to host a group meeting, and collectively develop and agree on the content for each section of the agreement. This might require a dedicated half or full-day workshop, which could be face-to-face or virtual.

What other resources do you need to use the Research Partnership Agreement Template?

- The Research Partnership Agreement Template
- For an intensive, group-based approach to implementation, a meeting space (or virtual meeting platform) and facilitator will be required.

How to use the Research Partnership Agreement Template?

These instructions are for a rapid approach. For an intensive approach, a group meeting, in which the content of the agreement was determined through deliberation, would also occur.

1. Download and read the Research Partnership Agreement Template.

2. Compile and review existing agreements, discussion notes, emails, meeting minutes and other documents that might provide content for the agreement.

3. Write content (or cut and paste from existing documents) to fill each of the modifiable sections of the template (denoted <…>).

4. Add or delete sections as required for your partnership.

5. Circulate the draft partnership agreement to key members of the partnership, requesting that they review and provide feedback.

6. Modify the draft to incorporate feedback from different partners.

7. Send the finalised agreement to the appropriate representatives of each partner organisation for sign-off.

8. Circulate the final agreement.

Tips for using the Research Partnership Agreement Template

- The person responsible for drafting the agreement will do a lot of the work but will also hold considerable power in terms of shaping the agreement. Choosing the right person for this role is key to developing a meaningful and workable agreement.

- Research funders often have their own partnership agreements to govern partnering within funded research projects. It may be useful to check funder agreements to become familiar with the content, and generate ideas, as you develop an agreement to guide the research partnership.

Expected outputs and outcomes from using the Research Partnership Agreement Template

Outputs

- A signed, written agreement detailing key aspects of the partnership’s intentions, structures and processes.

Outcomes

- Increased mutual understanding of the roles and responsibilities each partner has agreed to.
- Enhanced ownership of the research partnership for all partners.

Completed example of the Research Partnership Agreement Template

Download the Research Partnership Agreement Completed Example.

The completed example is based on a hypothetical partnership to study climate change impact and adaptation, between a European and a Pacific Islands University.

References and further reading for the Research Partnership Agreement Template

This tool is modified from on the Sample Partnership Agreement in Tennyson, R. (2011). *The Partnering Toolbook*. Retrieved from https://thepartneringinitiative.org/the-partnering-toolbook/

For ideas about the content of Section 4. Resource Distributions see ESSENCE on Health Research. (2020). *Five keys to improving research costing and pricing in low- and middle-income countries- ESSENCE Good Practice Document*. Retrieved from https://tdr.who.int/docs/librariesprovider10/essence/essence-fivekeys2nded2020-pdf.pdf?sfvrsn=9f37e717_8&download=true.

Tool 15: Equitable Protection of Intellectual Property

This tool is designed to help research partners identify any intellectual property (IP), as created through research partnerships, and to consider how to equitably attribute, protect and share this. Intellectual property refers to creations of the mind, which can be traded as commodities. Protecting this, through mechanisms such as copyright and patents, enables academics to claim moral and economic rights to their creations. However, IP protection mechanisms can also restrict access to the property.

In academic research, IP includes scientific publications, datasets, research instruments and samples, as well as patents on inventions such as medicines, technologies, and processes. It may be categorised as background IP (i.e. IP that academics bring with them to a project) and foreground/project IP (i.e. IP that is created through the project). In academic research, ownership and/or (where applicable) economic rights to IP are often claimed (fully or partially) by the universities at which the research was conducted. However, individual academics maintain the moral IP rights, for example the right to be recognised through authorship.

The current movement towards 'open science' (i.e. opening-up access to IP created through publicly-funded research), means that academics are increasingly expected to share their data sets, and publish their articles, in open access formats. Conversely, academics are also being encouraged to commercialise IP such as inventions or evidence-based programs. Both the push towards open access, and the drive for increased commercialisation of IP, have important implications for equity in a research partnership.

Why use the Equitable Protection of Intellectual Property tool?

Being able to lay claim to and access the IP they have created, enables researchers to gain recognition for their knowledge work, and use it as a basis for future work. Understanding what IP is, and thinking about who should and should not be entitled to own and/or access IP, is an important early step to take in a research partnership before any IP is created.

This tool addresses equity by:

1. Increasing awareness of the different types of IP which might be created through a research partnership.
2. Providing a space for thinking about and discussing equitable IP ownership of and access.

Equitable Research Partnerships Toolkit

Tool 15: Equitable Protection of Intellectual Property

When to use the Equitable Protection of Intellectual Property tool?

Phase	Rating	Descriptions
Planning	•••	This tool is designed to be used in the planning stage of a research partnership.
Implementing	••	The tool can also be used in the implementing stage, when research partners are designing a specific project.
Disseminating	•	This tool may be adapted for use in the disseminating stage, for example to identify IP created through a specific research project.
Sustaining	••	The tool may also be used in the sustaining stage to think about IP that might result from future phases of the research partnership.

Ratings
••• Designed for this stage | •• Can be used as is in this stage | •Can be adapted for use in this stage

How long does it take to use the Equitable Protection of Intellectual Property tool?

Rapid approach

- This tool could be rapidly implemented by an individual in 15-30 minutes.

Intensive approach

- A more intensive, group-based implementation might take two-three hours.

What other resources do you need to use the Equitable Protection of Intellectual Property tool?

- Equitable Ownership of Intellectual Property Matrix template
- Face-to-face or virtual meeting space, with projection or screen sharing facilities.
- Facilitator and/or notetaker

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Equitable Research Partnerships Toolkit

Tool 15: Equitable Protection of Intellectual Property

Tips for using the Equitable Protection of Intellectual Property tool

- Use the results of the tool to develop a formal, legally binding IP agreement, with assistance from your institution's research office.

- In research partnerships involving non-academic partners, such as government departments, private companies and non-governmental organisations, use the tool to explore different expectations and understanding of equity in IP ownership.

- In preparation for using this tool it may be useful to read one or more of the following resources:
  - What is Intellectual Property? (World Intellectual Property Organisation)
  - What is Intellectual Property? (Oxford University)
  - For definitions of key IP terms see: Intellectual Property Quick Guide (University of Missouri System).

How to use the Equitable Protection of Intellectual Property tool?

- Display the IP matrix using a projector or screen sharing facility.
- Introduce the meaning of IP and other key terms (e.g. copyright, patent), drawing on definitions in the recommended background readings (see above).
- Ask participants in the meeting if each type of IP included in the matrix is anticipated from the research partnership.
- For each type of IP, discuss equity of ownership and access, as well as the action required to enable this (see below for suggested questions).

Suggested questions to explore when using the Equitable Protection of Intellectual Property tool

The key questions to explore are included in the IP matrix. For each type of IP, these are:

- Who should have moral ownership rights?
- Who should have economic ownership rights
- Who should have access rights?
- How should access be granted?
- What needs to be done to enable these ownership and access rights?

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Equitable Research Partnerships Toolkit

Tool 15: Equitable Protection of Intellectual Property

Tips for using the Equitable Protection of Intellectual Property tool

- Use the results of the tool to develop a formal, legally binding IP agreement, with assistance from your institution's research office.
- In research partnerships involving non-academic partners, such as government departments, private companies and non-governmental organisations, use the tool to explore different expectations and understanding of equity in IP ownership.

Expected outputs and outcomes from using the Equitable Protection of Intellectual Property tool

Outputs

- A completed Equitable Ownership of Intellectual Property Matrix

Outcomes

- Increased awareness of the range of IP that may be created through the partnership.
- Mutual understanding of what equitable ownership and sharing of research IP might look like in the partnership.

Completed example of the Equitable Protection of Intellectual Property tool

Download the Equitable Ownership of Intellectual Property Completed Example.

A group of psychology and public health researchers from three countries, Australia, Vietnam and Nepal, have formed a partnership to develop evidence-based parenting programs. The Principal Investigator from Australia brings background IP to the project, in the form of a virtual program designed to enhance parents' skills for providing their babies nurturing care, while promoting parental mental health and wellbeing. The program was designed to improve infant development outcomes and reduce postnatal depression. Through experimental research, this has been shown to do so, in the Australian context.

The research partnership has been formed to enable the existing program to be adapted and tested for use in Vietnamese and Nepalese contexts. The intention is that this would build on the existing program and support the design of further parenting programs. In the first stage, the partners intend to apply for government funding from a Globally Northern country. This would fund adaption and testing of the existing virtual program in the Nepalese and Vietnamese contexts.

Assuming the program achieves its intended effects, the researchers intend to publish the program as a website and smart phone app. This would be openly accessible to parents who want to enrol in the program. The website and app will also be used to host the virtual program for the Australian context The researchers also anticipate publishing scholarly writing that will detail the program development and the methods and results of their experimental research. They will also create a dataset from testing the program.

The partners agree that IP resulting from their partnership should be made openly accessible, partly because this is a funder requirement. The partners also believe that restricting access to those who can afford to pay will decrease the impact of the program, because people who want to use, and may benefit from the program will not be able to access it. This includes parents and practitioners in the Globally Southern partner countries. While embracing 'open science' in principle, the partners recognise that funding to enable open access publication of the program, as well as scientific articles and/or books detailing their results and methods and their data, will be required to ensure open access to IP from the project is equitable. Unless funding is received, the partners from the Global South may not be able to afford to publish (and claim the moral rights to) their IP. This differs from the Globally Northern partner whose institution has open access agreements with publishers and an existing open access data repository.

References and further reading for the Equitable Protection of Intellectual Property tool

- Horn, L., Alba, S., Blom, F., Faure, M., Flack-Davison, E., Gopalakrishna, G., Masekela, R. (2022). Fostering Research Integrity through the promotion of fairness, equity and diversity in research collaborations and contexts: Towards a Cape Town Statement (pre-conference discussion paper).
- University of Missouri System. Intellectual Property Quick Guide. https://www.umsystem.edu/media/aa/UIDP_IP_Quick_Guide.pdf
- World Intellectual Property Organisation. Universities and Intellectual Property. (Undated). Available from https://www.wipo.int/about-ip/en/universities_research/

Equitable Research Partnerships Toolkit

Tool 16: Co-developing a Theory of Equity-related Changes

Tool 16: Co-developing a Theory of Equity-related Changes

A theory of change is a visual representation showing the pathways via which program activities are expected to have an impact. Co-developing a theory of equity-related change involves partners working together, to identify the overarching equity-related goal or impact they wish to achieve. Having identified this goal or impact, they would then work backwards, assessing evidence to determine the actions they need to take in order to achieve these, and the incremental outcomes that will show progress.

Why use the Co-developing a Theory of Equity-related Changes tool?

Co-developing a theory like this in a partnership draws attention to, and starts a discussion about, partnership equity. It explicitly highlights that equity-related changes will not occur spontaneously but must be strategically worked towards. This tool addresses equity by:

1. Ensuring that actions planned, to enhance equity within the partnership, are supported by scientific or experiential evidence.
2. Creating a monitoring and evaluation tool that can foster learning about the actions that work to increase equity in a partnership.

When to use the Co-developing a Theory of Equity-related Changes tool?

Phase	Rating	Descriptions
Planning	•••	A theory of equity-related changes should ideally be developed in the planning stage of the partnership.
Implementing	•	Once a theory of equity-related change had been developed, it can be used to monitor and evaluate equity-related changes during the implementing stage.
Disseminating	•	The theory of change could also be used for monitoring and evaluation in the disseminating stage.
Sustaining	•••	A theory of change could also be developed to make sense of what has happened, in the sustaining phase of a research partnership.

Ratings
••• Designed for this stage | •• Can be used as is in this stage | •Can be adapted for use in this stage

The Association of Commonwealth Universities

Equitable Research Partnerships Toolkit

Tool 16: Co-developing a Theory of Equity-related Changes

How long does it take to use the Co-developing a Theory of Equity-related Changes tool?

Rapid approach

- When you need a theory of change rapidly, nominate one person to assess evidence, consult with and/or receive ideas from different partners, and develop the theory of change model. This approach might take the nominated person several hours ,or a full day, depending on how many people are consulted and how extensive the theory of change is.

Intensive approach

- Ideally, co-development of a theory of change will occur through a deliberative process. All partners would meet and discuss the important changes they would like to keep track of and highlight how they expect these changes to come about. This might require a half-day workshop.

What other resources do you need to use the Co-developing a Theory of Equity-related Changes tool?

- Theory of change template
- Face-to-face or virtual meeting space.
- Facilitator and/or notetaker.
- Stationery such as poster papers, marker pens and blue tack/tape or an online whiteboard facility (virtual implementation).

Tips for using the Co-developing a Theory of Equity-related Changes tool

- Use the theory of change, that you create through this activity, for monitoring and evaluation purposes.

- Be aware that research evidence about how to increase equity in research partnerships is currently limited.

- For background reading, you may find it useful to review some sources of scientific evidence, and/or expert opinion, regarding how equity-related change occurs in a partnership.

    - Four Approaches to Supporting Equitable Research Partnerships
    - Mapping experiences and perspectives of equity in international health collaborations: a scoping review
    - Fostering Research Integrity through the promotion of fairness, equity and diversity in research collaborations and contexts: Towards a Cape Town Statement

- You may also wish to look at some theory of change examples that deal with equity in research partnerships or related ethics. For example:
    - National Institutes of Health and Care, Theory of Change for Global Health Research. Available at: https://www.nihr.ac.uk/documents/global-health-research-portfolio-theory-of-change/26036

How to use the Co-developing a Theory of Equity-related Changes tool?

- Determine the equity-related goal that the theory of change will be developed for.
    - The goal may be equity in the research partnership overall (as in the featured completed example) or equity in a specific aspect of the research partnership.
    - The goal may be determined in advance or decided through discussion in the meeting or workshop.

- Ask participants to suggest activities that could be implemented through the partnership and would contribute to achieving the goal.

- For each suggested activity, ask participants to theorise the pathway through which the activity will effect change, by identifying:
    - Expected outputs (tangible items that will contribute to achieving outcomes)
    - Expected outcomes (impacts or changes), in the short and long-term.

- For each suggested change pathway, ask the participants to identify supporting evidence, including theory, research results and anecdotal evidence (e.g. evidence from their own practical experience).

- Based on the available evidence, ask the participants to decide (e.g. through consensus or a vote), if each suggested pathway should be included in the theory of change.

- Once numerous activities and change pathways have been theorised, group the activities that contribute to related outputs and/or outcomes.

- Enter the information into the theory of change template, modifying the template layout as required.

Suggested questions to explore when using the Co-developing a Theory of Equity-related Changes tool

Theory and evidence

- What evidence suggests that the planned actions will lead to enhanced equity?
- Is there any evidence to suggest unintended outcomes might occur as a result of the planned actions?

Assumptions

- Does this assumption fully explain how change might occur and what might influence it?
- Is the assumption plausible?
- Should the assumption be challenged or tested?

Risks

- What are the possible risks of taking this action? Social, environmental?

Expected outputs and outcomes from using the Co-developing a Theory of Equity-related Changes tool

<u>Outputs</u>

- Using this tool will produce a theory of change that can be used as a point of reference for monitoring and evaluation.

<u>Outcomes</u>

- Participating in the co-development process will foster understanding of how equity related change occurs, and the efforts needed to work towards or achieve equity in a partnership.

Completed example of the Co-developing a Theory of Equity-related Changes tool

The completed example shows three pathways of change that are theorised to increase equity in the research partnership. Each pathway involves several output creating activities that foster short and long-term outcomes. The theory of change assumes a willingness to work towards increased equity and also acknowledges that intellectual and financial resources (inputs) will be required to enable change.

References and further reading for the Co-developing a Theory of Equity-related Changes tool

This tool is informed by:

- Better Evaluation. (Undated). Describe the Theory of Change. Retrieved from https://www.betterevaluation.org/frameworks-guides/managers-guide-evaluation/scope/describe-theory-change
- Faure, M. C., Munung, N. S., Ntusi, N. A., Pratt, B., & de Vries, J. (2021). Mapping experiences and perspectives of equity in international health collaborations: a scoping review. *International Journal for Equity in Health, 20*(1), 1-13.
- Horn, L., Alba, S., Blom, F., Faure, M., Flack-Davison, E., Gopalakrishna, G., . . . Masekela, R. (2022). Fostering Research Integrity through the promotion of fairness, equity and diversity in research collaborations and contexts: Towards a Cape Town Statement (pre-conference discussion paper).
- United Nations Development Group. (2017). *Theory of Change*. Retrieved from https://unsdg.un.org/sites/default/files/UNDG-UNDAF-Companion-Pieces-7-Theory-of-Change.pdf

Tool 17: Partnership Equity Check

The Partnership Equity Check is a questionnaire that asks about equity in ten aspects of a partnership. It is designed to be completed by individual members of a research partnership, so that the results recorded can be compared. The results for different individuals or groups (e.g. Northern versus Southern partners) are then plotted on a Spidergram, so that any discrepancies in equity assessments, and/or areas where equity needs to be addressed, are visualised.

Why use the Partnership Equity Check tool?

The Partnership Equity Tool is designed to create a space and time for explicitly thinking about equity in different aspects of a partnership. This tool addresses equity by:

1. Assessing how equitable a partnership is, from different members' perspectives.
2. Developing mutual understanding of how various members perceive equity within the partnership, and awareness of divergent perspectives.
3. Creating awareness of where equity within the partnership could be improved.

When to use the Partnership Equity Check tool?

Phase	Rating	Descriptions
Planning	•••	Use the tool in the partnership and research **planning** phase to assess equity of the planned research partnership.
Implementing	••	During the **designing and implementing** phases the tool might be used to collect equity assessment data from individuals periodically, or to assess specific criterion, such as Criterion 8- Process.
Disseminating	•	In the **impact and dissemination** stage, assess criterion 10 and/or add other impact and dissemination criteria to the assessment form.
Sustaining	••	The Partnership Equity Check can also be used for **evaluating** how equitable a partnership has been.

Ratings
••• Designed for this stage | •• Can be used as is in this stage | •Can be adapted for use in this stage

Equitable Research Partnerships Toolkit

Tool 17: Partnership Equity Check

How long does it take to use the Partnership Equity Check tool?

Rapid approach

- The questionnaire component of the tool can be used independently by any member of the partnership. They can perform a quick assessment of which aspects of the partnership are working well, and which could be improved.
- If time is short, a subset of the criteria in the Partnership Equity Check can be examined and discussed. For example, examining a single criterion might take just 30 minutes.

Intensive approach

- When resources are available, the Partnership Equity Check Tool is ideally used in a group setting and a spidergram is created. Partners then come together to discuss the results of the independent assessments, and any differences in assessments of equity between partners. This might take two to four hours, depending on the depth of discussion and extent of divergent perspectives.

What other resources do you need to use the Partnership Equity Check tool?

- Partnership Equity Assessment Questionnaire and Spidergram template.
- Face-to-face or virtual meeting space
- A facilitator who may be one of the research partners

How to use the Partnership Equity Check tool?

Preparation for group session

1. Agree on the criteria that will be used to assess partnership equity. To ensure completing the tool is feasible, agree on no more than 10 criteria to be assessed. You could use:
    a. The 10 criteria suggested below and included in the Partnership Equity Check Questionnaire template.
    b. A subset of these criteria that is most relevant to your partnership.
    c. Criteria that partners develop based on relevance to their partnership.

2. Modify the [Partnership Equity Assessment Questionnaire template] by modifying the criteria, if desired (optional).

3. Distribute the questionnaire to members of the partnership via email or a shared drive. If email is used the facilitator will need to transfer all answers into the same template as they are returned.

4. Ask each partner involved in the assessment to independently score each question, for each criterion, and make comments explaining their score.
    a. As the scores are entered, they will be used to automatically create the spidergram.

Group session

5. The group session can occur face-to-face or virtually.

6. Display the completed spidergram so that participants can see the scores provided by different members of the partnership.

7. Discuss any discrepant results, e.g. those criteria in which individual partners, or Globally Northern and Southern partners gave significantly different scores.

8. Discuss any results that indicate low levels of equity in an aspect of the partnership.
    a. Why this ranking?
    b. What can be done to improve equity in the future?

9. Divide into small groups to brainstorm actions that might be taken to improve equity in various criteria.
    a. Other smaller groups could focus on different criteria.
    b. Focus on criteria which received low or discrepant equity scores.
    c. Ask each small group to detail their action ideas:
        i. Use poster paper or electronic posters depending on the meeting format.
        ii. Groups could create a list, mind map or any other representation of their ideas.

10. Reconvene the entire group:
    a. Ask someone from each small group to briefly present the action ideas the group developed.
    b. The facilitator could document these to compile a single list.

c. After the presentations, the group should discuss the ideas, including whether they are feasible to implement.
d. Document any actions that would be feasible and acceptable to take, and/or include in the research grant proposal.
e. Nominate people to act on these ideas.

Suggested questions to explore when using the Partnership Equity Check tool

The primary questions for this tool are embedded in the Partnership Equity Check Questionnaire template.

Tips for using the Partnership Equity Check tool

- In the early stages of a partnership, partners with limited power may not be comfortable to identify issues with equity. Creating a way that partners can submit responses anonymously might be useful.
- Submit the results of your assessments to support claims about equity within the partnership with funding applications.
- Do not add or delete row from the Partnership Equity Check Questionnaire template, as this may interfere with the Spidergram data table.

Expected outputs and outcomes from using the Partnership Equity Check tool

Outputs

Using the Partnership Equity Assessment Questionnaire will produce:

- A set of data that captures assessments of equity at one or multiple points in time.
- A spidergram visualising the equity assessment scores.

Outcomes

- Improved awareness of equity, in different aspects of the research, and different perspectives regarding what constitutes equity and how equitable a partnership is.

Completed example of the Partnership Equity Check tool

Download the Partnership Equity Check Questionnaire Completed Example.

The completed example details a partnership in which a Globally Northern partner assesses equity to be higher than the Globally Southern partner. These differences are visualised on the spidergram. Reading the comments provided by each partner provides insights into the reasons for the different assessments (select the sheets labelled 'Northern Partner' and 'Southern Partner' to see these comments). At least some of the differences are explained by different perceptions of what constitutes equity, which would be fruitful to discuss in group session.

References and further reading for the Partnership Equity Check tool

- This tool has been adapted from the Partnership Health Check tool in Woodhill, J., H. Brouwer, and H. ten Hove. 2021. IFAD Partnering Toolkit: Practical Tools for Strengthening IFAD's Partnerships. Available from: https://research.wur.nl/en/publications/partnering-toolkit-practical-tools-for-strengthening-ifads-partne

Equitable Research Partnerships Toolkit

Tool 18:

Actioning the Equitable Research Partnerships Code of Conduct Checklist

Tool 18: Actioning the Equitable Research Partnerships Code of Conduct Checklist

This checklist tool is an assessment of the extent to which research conducted in a partnership has acted, or will act, in accordance with the Equitable Research Partnerships (ERP) Code of Conduct. The Code of Conduct includes four domains and 23 items. The Code is an adapted version of the [Global Code of Conduct for Research in Resource-Poor Settings] (2018). It has been an influential resource in shaping the values and intentions that guide research partnerships. However, values and intentions need to be translated into actions that have a positive impact on equity within real world research partnerships.

Why use the ERP Code of Conduct Checklist tool?

This tool assists researchers in thinking about what can be done, and/or documenting things that have already been done, to action the Equitable Research Partnerships Code of Conduct. Using this tool addresses equity by:

1. Highlighting a range of domains in which equity enhancing actions could be taken.
2. Providing a structure for thinking about and/or documenting equity enhancing actions.
3. Increasing the likelihood that equity enhancing actions will be considered and implemented within a research partnership.

When to use the ERP Code of Conduct Checklist tool?

Phase	Rating	Descriptions
Planning	•••	Actioning the Code of Conduct is a tool ideally suited to the planning stage of a research partnership, when decisions about the research process which impact on equity are being made.
Implementing	••	Many of the items on the checklist relate to the study design and implementation and actions that might be taken during the implementing stage.
Disseminating	•	Many of the fairness elements of the Code can be used in the disseminating stage, for instance, to include Southern partners and stakeholders throughout the research process.

Sustaining	•••	The tool could be used as part of evaluation, or to think about future phases of a research partnership in the sustaining phase.

Ratings
••• Designed for this stage | •• Can be used as is in this stage | •Can be adapted for use in this stage

How long does it take to use the ERP Code of Conduct Checklist tool?

Minimalist approach

- When time and resources are scarce, focus on a subset of items in the Code. For example, discuss just five of the 23 items or one of the four domains that make up the checklist. This might take 30-60 minutes.

Intensive approach

- A more intensive approach might involve bringing research partners together to discuss and decide upon actions to be taken in relation to each of the 23 items in the checklist. This approach would require two to four hours, depending on how many stakeholders are involved.

What other resources do you need to use the ERP Code of Conduct Checklist tool?

- Actioning the Equitable Research Partnerships Code of Conduct Checklist template
- Face-to-face or online meeting space
- A facilitator and notetaker, both of whom can be selected from the participant group

Tips for using the ERP Code of Conduct Checklist tool

- Use results from the checklist to inform the research budget and ensure there is sufficient funding for actions that will be taken to adhere to the code and enhance partnership equity. But remember many of the actions of the code will give you better science anyway and not cost more than would be expected from the funder (e.g. having proper representation of local researchers).

Comprehensive background information: The Global Code of Conduct for Research in Resource-Poor Settings to Prevent Ethics Dumping

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Equitable Research Partnerships Toolkit

Tool 18:

Actioning the Equitable Research Partnerships Code of Conduct Checklist

How to use the ERP Code of Conduct Checklist tool?

Preparation

- In advance of the face-to-face or virtual discussion provide participants with a copy of the Global Code of Conduct.
- Ask participants to familiarise themselves with the Code and think about the meaning of the four values.
- Ask participants to think about the actions that might be taken to address each of the 23 articles.

Meeting

- Download the Actioning the Equitable Research Partnerships Code of Conduct Checklist template.
- Display the checklist on a screen that all participants can see.
- Ask each participant to contribute an action that might be taken to address one of the 23 articles. The notetaker should type the actions into the checklist template as they are suggested.
- Through group discussion, decide:
  - Which of the proposed actions will be implemented by the partnership.
  - For the chosen the action(s), decided which one will represent adherence to one or more articles of the Code.
- In the checklist template, enter a score indicating whether the partnership will adhere to each article. 0 = No and 1 = Yes.
- Discuss the domain and overall scores and their meaning with regard to equity in the partnership.

Suggested questions to explore when using the ERP Code of Conduct Checklist tool

- What could be done to translate each article of the Code into practice within the research partnership?
- How feasible is the proposed action?
- What resources would be needed to implement the proposed action?
- Should/could this action be implemented within the partnership?
- What does the score achieved for each domain mean? What does the total score mean? Is a score above 50% 'good enough'? Does a score below 50% mean the research is unethical, not equitable, and should not be implemented?
- What else could be done to improve alignment of the research partnership or project with the Equitable Research Partnerships Code of Conduct?

Expected outputs and outcomes from using the ERP Code of Conduct Checklist tool

Outputs

- Implementing the tool will produce an action plan that details how each of the articles of the Code of Conduct will be translated into practice within the research partnership.

Outcomes

- The tool is designed to develop a shared understanding of the values on which the Equitable Research Partnership Code of Conduct is based.
- Using the tool should foster a sense of commitment in the research partnership to address a range of areas that impact on equity.

Completed example of the ERP Code of Conduct Checklist tool

Download the completed example of the ERP Code of Conduct Checklist tool checklist.

The completed example illustrates a partnership, between a European and an African university, to develop pharmaceutical products based on Indigenous knowledge of medicinal plants. The partnership scores highly because actions to address most articles of the Code of Conduct will be taken. The actions taken to adhere to the Code of Conduct are detailed in the 'Descriptions' column of the tool.

Despite the overall high score, a closer look at the descriptions reveals some potentially problematic actions. For example, in the first domain, 'Fairness', participants will not be informed about the potential monetary benefits because they are not yet known. However, if monetary benefits are likely, it would be inequitable not to inform potential participants of the likely benefits, even if the exact monetary amounts are unknown.

References and further reading for the ERP Code of Conduct Checklist tool

The items in the checklist are based on Schroeder, Doris, Kate Chatfield, Michelle Singh, Roger Chennells, and Peter Herissone-Kelly. 2019. *Equitable research partnerships: a global code of conduct to counter ethics dumping*. Springer Nature, which is available open access at: https://link.springer.com/book/10.1007/978-3-030-15745-6.

Tool 19: Participation in Research Checklist

The Participation in Research Checklist is a framework for systematically planning, and/or assessing, which members of a partnership participate in which stages and activities in the research process. It draws attention to the range of activities involved in a research project and who will do what at each stage.

Why use the Participation in Research Checklist tool?

Examining who does what is an important step in determining equity in a research partnership. Different activities involve different burdens and lead to different rewards. Participating in 'academic activities' such as defining the research question, designing research methodologies, and analysing data, typically leads to the reward of co-authorship of research outputs such as journal articles. This is an important form of recognition for researchers, whose ability to advance their career and access research funding depends heavily on their track record as authors. Participating in emotionally and/or labour-intensive activities such as recruiting research participants, collecting and translating data, and/or engaging community members or policy makers, are important for ensuring research is rigorous and equitable. However, participating in these activities is typically poorly recognised by academic institutions and research funders.

This tool addresses equity by:

1. Making explicit what stages and activities different members of a partnership participate in, and the nature of their participation.

2. Enabling assessment of the equity of each partner's pattern of participation.

3. Producing results that might be used to:
    a. Facilitate critical thinking about equity of participation.
    b. Plan more equitable participation.
    c. Support claims regarding equitable participation, including in funding applications.

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Tool 19: Participation in Research Checklist

When to use the Participation in Research Checklist tool?

Phase	Rating	Descriptions
Planning	•••	The checklist is intended to be used for **planning** which aspects and activities of the research process each member of a partnership will participate in.
Implementing	••	During the **design and implementation** stage of research, the checklist can be used to monitor what people actually do.
Dissemination	••	The checklist includes some **dissemination and impact** activities.
Sustaining	•••	The checklist is intended to be used for evaluating and reflecting on what activities different members participated in, in different stages of the research project. This type of evaluation can contribute to learning from experience and planning future participation in the sustaining stage of a research partnership.

Ratings
••• Designed for this stage | •• Can be used as is in this stage | •Can be adapted for use in this stage

How long does it take to use the Participation in Research Checklist tool?

Rapid implementation

Completing the participation checklist will take 20-30 minutes per member. Asking individuals to complete the checklist as a self-reflection exercise might be useful if resources are scarce.

Intensive implementation

When resources are available, a group meeting could be convened to discuss checklists completed by or for different partners, and the equity of each member's participation. This more intensive approach might require a group meeting of one to two hours. In addition, each member of the partnership would need to spend 20-30 minutes completing the checklist, as per the rapid approach.

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Tool 19: Participation in Research Checklist

What other resources do you need to use the Participation in Research Checklist tool?

- Electronic or paper copies of the Participation in Research Checklist template
- Space for face-to-face or virtual meeting (intensive approach)
- An electronic device that can be used to project (or screen share) the checklist.
- For reflective discussions, additional stationery such as poster paper and marker pens may be required.

How to use the Participation in Research Checklist

1. The checklist assumes there are three possible 'levels' of participation, no participation (score = 0), tokenistic participation (score = 1) and meaningful participation (score = 2). Discuss the meaning of different 'levels' of participation.
    a. No participation might mean being completely excluded.
    b. Tokenistic participation might include signing off on decisions made by other members of the partnership or participating in a labour-intensive activity such as data collection for a short time.
    c. Meaningful participation might involve being involved in discussions, making decisions, or dedicating significant time to participating in the activity.

2. Enter research partners' names in the column headers. If there are more than five partners, copy and paste the columns for additional members to complete.

3. Distribute the checklist to partners and ask them each to complete the checklist based on how they expect to participate in the research process (for use in the planning stage). In the sustaining phase, the checklist would be completed based on actual participation.
    a. You could complete a checklist for each institution involved in the research partnership or for each researcher.

4. Instruct each research partner to select and complete the cells for 'Any'" and 'Level' of participation, based on what they expect to do (or what they have done):
    a. In the 'Any' cell, enter:
        1. 0 if the partner is not participating in the activity; and
        2. 1 if the partner is participating in the activity.

   b. In the 'Type' cell, enter:
      1. 0 if the partner is not participating in the activity.
      2. 1 if the partner is participating in the activity in a tokenistic way.
      3. 2 if the partner is participating in the activity in a meaningful way.

5. Scores for total participation and participation in academic and non-academic activities will calculate automatically:
   a. Academic activities are written in blue text and are activities that are typically recognised and rewarded by academic institutions and research funders.
   b. Non-academic activities are written in black text and typically receive limited recognition, despite being important for research rigour and/or equity.

6. Convene a meeting of all partners who have completed the checklist, to discuss the equity of planned or actual participation. See below for questions that could be discussed.

7. Make a list of actions that could be taken to address any inequities in participation. Decide on actions that will be taken to increase equity.

Suggested questions to explore when using the Participation in Research Checklist

For individuals

- Are there any additional activities which you (or other partners) would like to or should participate in?
  - Which activities?
  - Why do you want to participate in this activity?
  - Why are you not participating in this activity?
  - What could be done to enable you to participate in this activity?

- Are there any planned activities which you (or other partners) would not like to or should not participate in?
  - Which activities?
  - Why do you not want to participate in this activity?
  - Why are you participating in this activity?
  - Who else could participate in this activity so that your time can be freed up?

- Compared to the activities that you think/know other members are participating in, do you feel that your participation in the research will be equitable?

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Tool 19: Participation in Research Checklist

For groups

- Is participation in any stage or activity of the research process dominated by members from the Global North or South?
  - Why or why not?
  - Is this equitable?

- Are there any activities in which participation of Globally Southern based partners could be planned to enable research capacity strengthening?

- Are there any activities in which participation of Globally Southern based members could be planned to enable equitable recognition, for example in authorship of research outputs?

Tips for using the Participation in Research Checklist

- In your research funding proposal, use the results of participation planning to support claims about equity in the partnership.
- Provide all members of the partnership with an opportunity to use the tool to identify activities in which they would like to participate.
- It may be easier and less confrontational to discuss inequity in a hypothetical partnership. Before applying the checklist to your own partnership, discuss the completed example as a reflection activity.

Completed example of the Participation in Research Checklist

The Participation in Research Checklist completed example is based on a hypothetical partnership, involving members from Uganda, Vietnam and the United Kingdom (UK). The partners have agreed to use the following definitions for levels of participation:

0 = No participation in this activity.
1 = Tokenistic participation means signing off on decisions made by other members of the partnership or participating for a short time.
2 = Meaningful participation involving deliberating, making decisions or dedicating significant time to participating in the activity.

The results show that the project was conceptualised by the UK partner, with input from the Vietnamese partner. The Ugandan partner was only invited to participate after the project had been designed. Although the overall participation scores are similar for the Ugandan and United Kingdom partners, the academic and non-academic participation scores show considerable inequity. The Ugandan partner was excluded from most of the academic activities. Although the Vietnamese partner participated in more academic activities than the Ugandan partner, their participation in academic activities was more often tokenistic, compared to the UK partner's participation, which was meaningful.

References and further reading for the Participation in Research Checklist

The checklist is adapted to the context of academic research partnership from the Comprehensive Community Participation in Research Framework presented in Brear, M. R., Hammarberg, K., & Fisher, J. (2018). Community participation in research from resource-constrained countries: A scoping review. *Health Promotion International, 33*(4), 723-733.

Tool 20: Partnership Checklists for Global North and Global South Academics

Academics based in Global North and South countries have different levels of power and abilities to influence research agendas and access funding. However, all academics execute their research within systems where their power is limited and where creating space for making research partnerships more equitable is challenging. These Partnership Checklists are designed to help unpack the (sometimes limited) opportunities academics have to influence research agendas and policies, as well as identify some of the challenges they may encounter.

Why use the Partnership Checklists for Global North and Global South Academics?

Using these Partnership Checklists encourages exploring ways in which academics can and cannot influence research equity, and the challenges they might encounter in their efforts to do so.

This tool addresses equity by:

1. Identifying previously hidden opportunities for addressing equity within a partnership.
2. Making explicit the challenges academics face, and the limitations of their power, with regard to making a research partnership equitable.

When to use the Partnership Checklists for Global North and Global South Academics

Phase	Rating	Descriptions
Planning	•••	These tools are intended to be used in the planning phase of a research partnership.
Implementing	••	The Partnership Checklists might be used in the implementing stage, if it was not possible to use the tool during planning.

Dissemination	••	In the disseminating phase, academics could explore the questions about impact and dissemination included in the tool.
Sustaining	•••	The Partnership Checklists could also be used for evaluating past practice in the sustaining phase.

Ratings
••• Designed for this stage | •• Can be used as is in this stage | •Can be adapted for use in this stage

How long does it take to use the Partnership Checklists for Global North and Global South Academics?

Rapid approach

When time is short, it may be useful for academics to simply read through and familiarise themselves with the questions. This might take as little as five to 10 minutes. Academics could also start answering the questions, by creating lists or mind maps, that they build on over time, as new ideas and information present.

Having questions about research partnership equity in one's mind is useful. For example, it may reveal hidden assumptions (e.g., about what constitutes good research) and/or increase readiness to act on opportunities that present themselves.

Intensive approach

When time and other resources permit, this tool might be implemented with a group of academics involved in a research partnership, or those representing numerous partnerships, who come together to discuss the questions and share their ideas. A group approach could be conducted face-to-face, through a single virtual meeting or workshop, or through a series. Expect to be able to discuss three to six questions in a one to two hour group session. Consider whether it is most useful to discuss all the questions in a single full-day workshop (e.g. when establishing the partnership), or to schedule shorter discussions at strategic times (e.g. discuss the research design questions prior to commencing the research design process).

Equitable Research Partnerships Toolkit

Tool 20:

Partnership Checklists for Global North and Global South Academics

What other resources do you need to use the Partnership Checklists for Global North and Global South Academics?

- Physical or electronic copies of the Checklist templates:
    - For academics based in the Global North
    - For academics based in the Global South
- For group implementation, a face-face l or virtual meeting space and facilitator.
- Stationery, such as paper and pencils for recording ideas or mind mapping (face-to-face) or an electronic whiteboard app such as Miro (virtual).

Tips for using the Partnership Checklists for Global North and Global South Academics

Background reading:

- Fair and equitable partnerships for international development research
- UK-based academics Resource materials to support fair and equitable research partnerships
- Academics based in the global South- Resource materials to support fair and equitable research partnerships

How to use the Partnership Checklists for Global North and Global South Academics

When using this tool, bear in mind that the purpose is not to arrive at a single, correct answer, but rather to explore the range of possible answers, the reasons why researchers answer the questions in the way they do, and the associated equity implications. Different researchers conduct their work in different disciplinary environments, have different levels of expertise and influence, and different priorities. All of these factors will influence how they answer the questions.

Individual use

1. Read through the Checklist questions.
2. Think about the answer(s) to each question.
3. Record your answers in a format that suits you. This might be as a single list, or as a series of lists, created in an electronic document or a mind map written down on paper (to name just a few).
4. Add to the answers over time, as you think of new possibilities, or encounter new possibilities and challenges.

Group implementation - Approach 1

1. Agree on which questions from the checklist will be discussed in the group session. Ensure the number of questions is feasible to discuss in the available time.
2. Divide the group into smaller groups of three to four people. If the group includes both Global North and South academics, make separate small groups for those based in each.
3. Ask each group to select a different question to answer.
4. Provide small groups with 15-20 minutes to develop an answer or answers to the question, and detail them (either in writing or as a visual representation).
5. Reconvene the entire group.
6. Ask someone from each group to present their question and answer(s) in less than five minutes.
7. Provide up to 10 minutes for comments and discussion of the equity implications of different answers, and for participants to pose alternative answers that might be more equitable.
8. Using this process, you would need one hour to examine three questions.

Group implementation - Approach 2

1. Ask each member of the group to bring their answer(s) to one of the questions in the checklist to a workshop.
2. Ask each participant to present their answers to the five questions that were most important to them.
3. Ask the group to discuss the presentation for 10-20 minutes.
4. Using this approach, you would need approximately 30 minutes to discuss each question.

Tips for using the Partnership Checklists for Global North and Global South Academics

- Modify the wording of the questions to match the stage that your research partnership is at (e.g., use future or past tense instead of present tense).
- Have a notetaker record the discussion.

Expected outputs and outcomes from using the Partnership Checklists for Global North and Global South Academics

Outputs

This key output the Checklists will produce is written answers to the featured questions.

Outcomes

The outcomes of using this tool should include:

- Increased understanding of the opportunities Global North and Global South academics each have to influence equity in research partnerships, as well as the challenges they face in doing so.
- Enhanced awareness of the possible ways of influencing equity, and the readiness to act when opportunities arise.

References and further reading for the Partnership Checklists for Global North and Global South Academics

This tool is based on the checklists in:

- Rethinking Research Collaborative. 2018. UK-based academics Resource materials to support fair and equitable research partnerships. Retrieved from: https://www.christianaid.org.uk/sites/default/files/2022-09/uk-academics-fair-equitable-partnerships-sept-18_0.pdf
- Rethinking Research Collaborative. 2018. Academics based in the global South- Resource materials to support fair and equitable research partnerships. Retrieved from: https://www.christianaid.org.uk/sites/default/files/2022-09/southern-academics-fair-equitable-partnerships-sept-18_0.pdf