

KFPE's New Guide for  
Transboundary Research Partnerships:  
The **11 Principles** and  
the **7 Questions**

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# Why revise the 11 principles?

The context changed

The booklet was too long, too many repetitions

Not clearly mentioned:

Trade offs

Stumbling blocks and ways to overcome them

Wording

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## What challenges in reviewing the principles?

1- How to *operationalise* the principles ?

How to cope with *stumbling blocks*?

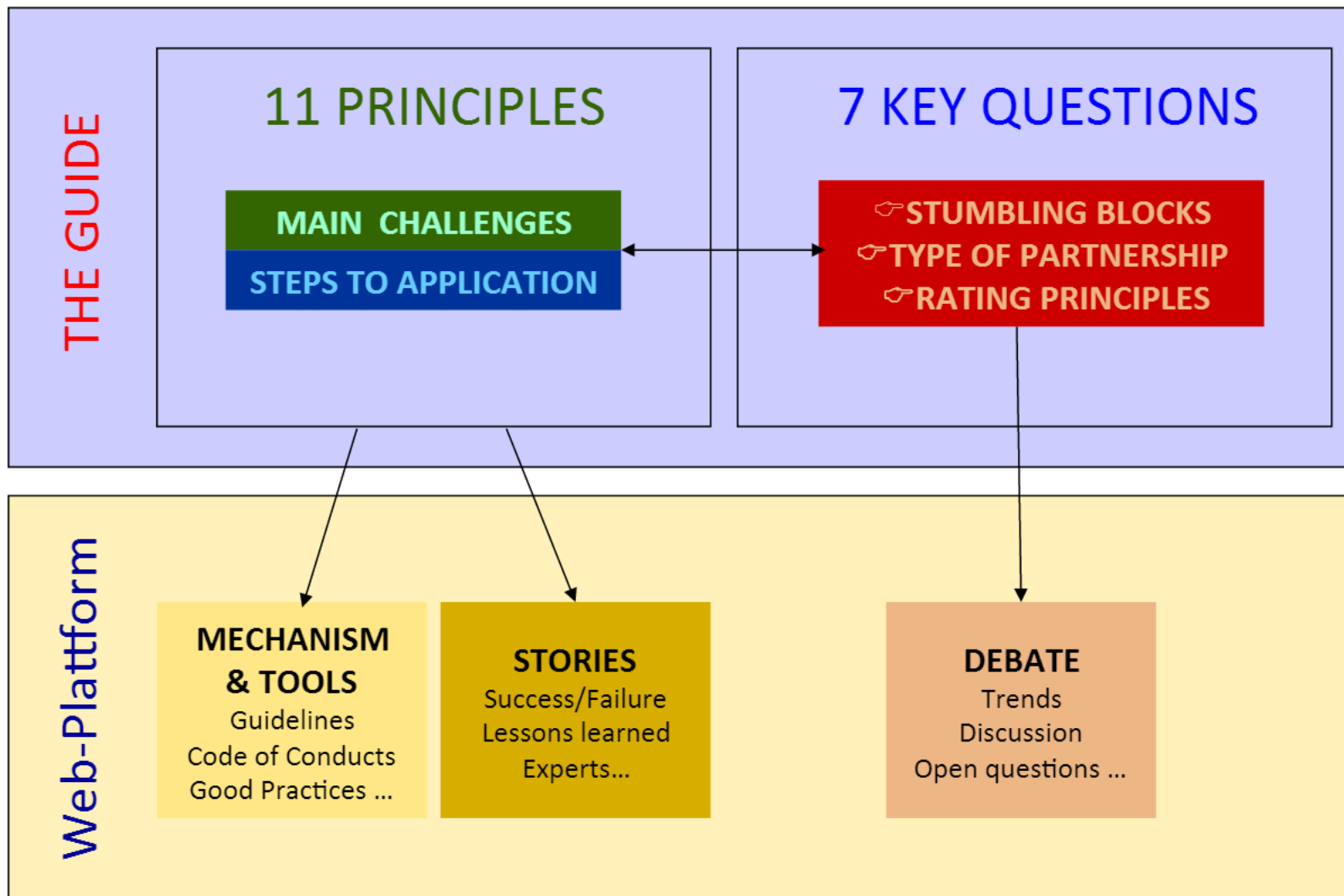
⇒ Break the principles down to practical use

2- Which principles are important  
for what type of partnership?

⇒ Rate principles according context

3- How to promote a critical dialogue  
on good practices?

⇒ Create a platform for dialogue



## 2012 principles

- (1) Set agenda together
- (2) Integrate with stakeholders
- (3) Clarify responsibilities
- (4) Account to beneficiaries
- (5) Promote mutual learning
- (6) Enhance capacities
- (7) Share data & networks
- (8) Disseminate results
- (9) Pool profit & merits
- (10) Apply results
- (11) Secure outcomes

## 1998 principles

- Decide on the objectives together
- Build up mutual trust
- Share information, networks
- Share responsibilities
- Create transparency
- Monitor and evaluate the collaboration
- Disseminate the results
- Apply the results
- Share profits equitably
- Increase research capacity
- Build on achievements

## The 7 Key Questions

Why to work in partnership ?	Added value, Win-Win, Necessity
How to ensure cohesion ?	Dividing Forces and Counterbalance
What form of collaboration ?	Project, Network, Programme, Alliances
Which foci and priorities ?	Research – Impact – Capacity Building
Who to involve ?	Peers, Beneficiaries, Donors, Intermediaries
Where to create relevance ?	3 Types of Knowledge, Social Embedment
When to consolidate outcomes ?	Transdisc. Interact., Instit. Consolidation

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# 1 SET AGENDA TOGETHER

## Issues

Cooperation between research institutions can take a broad range of forms, from loose exchange of information to contract research and even long-term research collaboration (7Q3). Practical experience with North-South collaborations has shown that the more ambitious the goal and the closer the form of cooperation, the more important it is for all parties involved to reach mutual agreement on the meaning and the purpose of their work (7Q1, 7Q2). Joint conduct of research that is relevant and of high scientific quality is only possible if all parties work together towards a shared goal from the very beginning – including the relevant stakeholders (7P2). While this seems obvious enough, it is not easy to implement in practice. Cases are rare where collaboration involves two research groups that contribute equally to funding, have equal scientific capacity, and share the same interests. Asymmetry is inevitable and a fact, but its negative impact can be reduced. Determining research questions, research approaches, and research methods jointly is a first important step towards more equity in cooperation, shared ownership and mutual trust.

## MAIN CHALLENGES

- ▶ To reach an understanding that the agenda-setting process requires that all initial phases of identification, appraisal and planning be tackled in a joint process.
- ▶ To handle funding schemes and externally imposed obligations so as to guarantee freedom of research and open the partners' scope for participatory procedures.
- ▶ To counterbalance “inherent inequalities” among partners in order to gradually build mutual ownership and accountability based on trust and motivation.

## STEPS TO APPLICATION

### Be aware and clarify

- ☛ Check partners' interests and reference systems;
- ☛ Appraise external conditions such as research policy, rights of expression; ☛ Assess potential driving forces regarding risk (disabling drivers) and opportunities (enabling drivers).

### Examine closely and search for options

- ☛ Design the planning of „who will do what and how” in a participatory way; ☛ Put joint formulation of the research questions at the center; ☛ Define mutually expected outcomes;
- ☛ List what requirements need to be fulfilled by partnership to achieve these results

### Stipulate rules and procedures

- ☛ Jointly determine the varying levels of partners' involvement in all phases of the project cycle.

*Joint undertakings stand a better chance when they benefit both sides. Euripides*





### 3- CLARIFY RESPONSIBILITIES



(all Cartoons by Karl Herweg, CDE )

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## 4- ACCOUNT TO BENEFICIARIES



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## 5- PROMOTE MUTUAL LEARNING

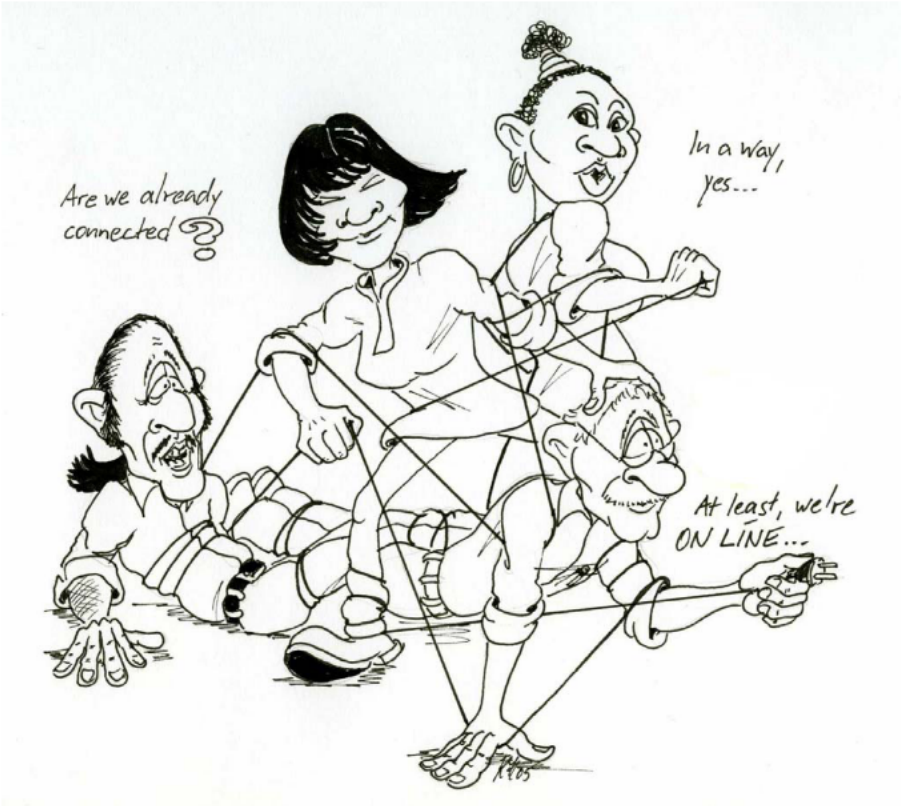


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# 7- SHARE DATA AND NETWORKS





## 8- DISSEMINATE RESULTS



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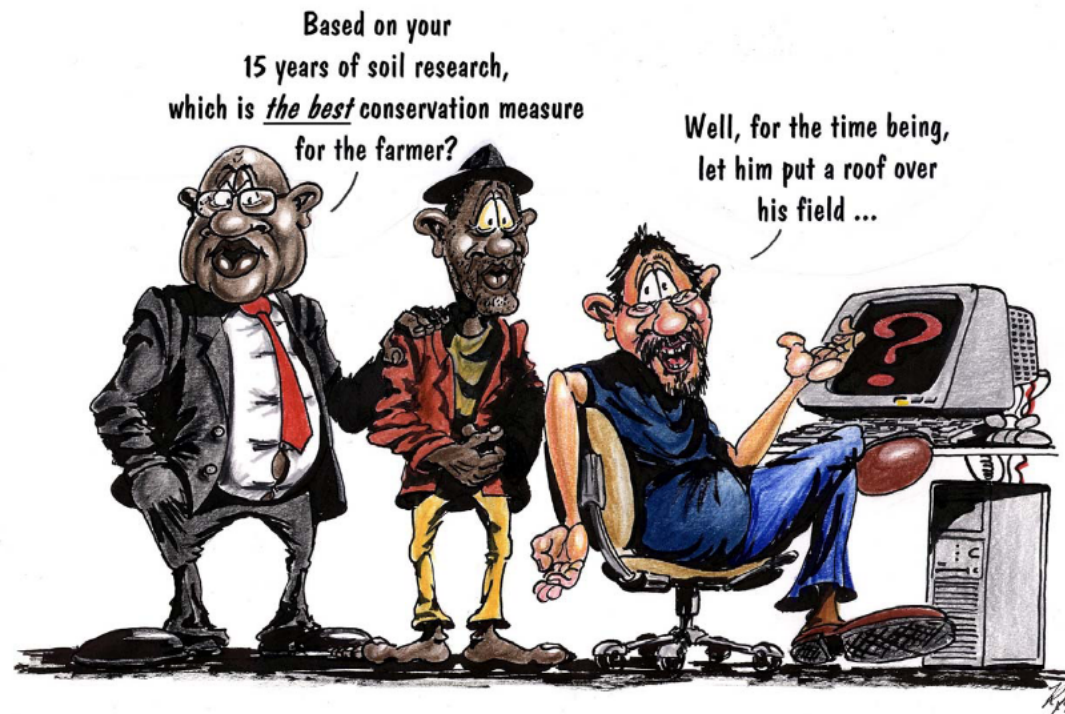
## 9- POOL PROFITS & MERITS



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# 10- APPLY RESULTS





## 11- SECURE OUTCOMES



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Thank you

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