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Association of Research
Managers and Administrators

Complex Collaborations

Sapna Marwaha and Joe Timlin
SRAI Annual Meeting – October 2023

Agenda

- **Welcome**
- **Background**
- **Key Findings**
- **Recommendations**
- **Reflections**
- **Questions from the audience**
- **Close**



Complex Collaborations

**Efficiency, Equity, Quality and Security
in International Research**

Published March 2023

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Instructions



Where are you joining us from today?

Waiting for responses ...



Complex Collaborations

Efficiency, Equity, Quality and Security in International Research



Sapna Marwaha, Co-Investigator



Joe Timlin, Project Officer



Phase One: A Consolidated Approach to Due Diligence

Some history – Phase One

February 2020 – April 2021

In Phase One, the ARMA-led consortium set out to:

- Develop a core questionnaire for gathering due diligence information from partners (ARMA due diligence questionnaire)
- Scope whether a case existed to establish a clearing house to act as a national repository for due diligence questionnaires
- Scope whether a case existed to establish a national service to complement the clearing house, providing additional services such as advice, training and development



Some history – Phase One

Phase One Recommendations

- Sector agencies should collaborate to establish a Clearing House and National Service in support of Due Diligence for International Research.
- The next stage of work to establish a Due Diligence Clearing House and National Service should be grant funded
- It should consider a funding model for the Due Diligence Clearing House and National Service to support its long-term sustainability.



Phase Two: Trusted Research and Security

Efficiency, Equity, Quality and Security in International Research Collaboration

In May 2022, the ARMA-led consortium was awarded funding from Research England to explore how the recommendations made by the ARMA-led 'Due Diligence in International Research' report could be broadened to encompass all international research collaborations and address the Trusted Research agenda and wider security related issues.

Key Deliverables:

- Broadening the focus to all international research collaborations with focus on Trusted Research and security
- Engaging with a diverse range of stakeholders
- Assessing the feasibility of a 'Clearing House' and 'National Service' as a solution
- Developing a technical assessment with project partner, Jisc
- Exploring appropriate ownership and funding models



Trusted Research and Security

The Trusted Research agenda promotes due diligence; understanding conflicts of interest; and data segregation and the use of legal frameworks (including export control, data protection and investment regulation) to protect intellectual property, sensitive research and personal information.



Advisory Group

Ara Tahmassian Chief Research Compliance Officer, Harvard University

Dr Ross McLennan Australasian Research Management Society | Pro-Vice Chancellor, Research Services, Macquarie University

Pamela Webb Associate Vice President for Research, University of Minnesota | Federal Demonstration Partnership Clearing House

Kelly Pullin Head of Strategic Coordination, Research England, UKRI

Morag Campbell Assistant Director, Scottish Funding Council

Daniel Wake Policy Manager, Universities UK

Dr Victoria Moody Director of Research and Innovation Sector Strategy, Jisc

Gareth Macdonald Head of Funding Assurance, UKRI

Noleen Morgan Global Compliance Officer, Queen's University Belfast

Anjana Choudhuri Research Integrity Manager, Swansea University

Joe Marshall Chief Executive, The National Centre for Universities and Business

Zareen Saleem Head of Research Contracts and Due Diligence, The Royal Veterinary College, University of London



43

Institutions responded to our survey



15

Institutions participated in our interviews



77

Groups and organisations consulted from across the sector



SURVEY

ROUNDTABLES

INTERVIEWS

CASE STUDIES

76

Research organisation representatives

24

Funding and sector body representatives

6

Roundtables

Key Findings

Legal Frameworks

The growing burden of research compliance

Pre-2000

Primary Legislation

- Patents Act 1977
- Animals (Scientific Procedures) Act 1986
- Copyright Designs and Patents Act 1988
- Competition Act 1998

2000 - 2009

Primary Legislation

- Freedom of information Act 2000
- Anti-terrorism, Crime and Security 2001
- Export Control Act 2002
- Mental Capacity Act 2005
- Terrorism Act 2006

Secondary Legislation

- The Medical Devices Regulations 2002
- The Medicines for Human Use (Clinical Trials) Regulations 2004
- The Export Control Order 2008
- The Human Fertilisation and Embryology (Disclosure of Information for Research Purposes) Regulations 2010

2010 - 2019

Primary Legislation

- Bribery Act 2010
- Care Act 2014
- Intellectual Property Act 2014
- Modern Slavery Act 2015
- Higher Education and Research Act 2017
- Data Protection Act 2018
- Sanctions and Money Laundering Act 2018
- Counter-terrorism and Border Security Act 2019

Secondary Legislation

- The Human Medicines Regulations 2012
- The Genetically Modified Organisms (Contained Use) Regulations 2014
- The Public Contracts Regulations 2015

Post 2020

Primary Legislation

- Medicines and Medical Devices Act 2021
- National Security and Investment Act 2021
- Subsidy Control Act 2022
- Higher Education (Freedom of Speech) Act 2023
- National Security Act 2023

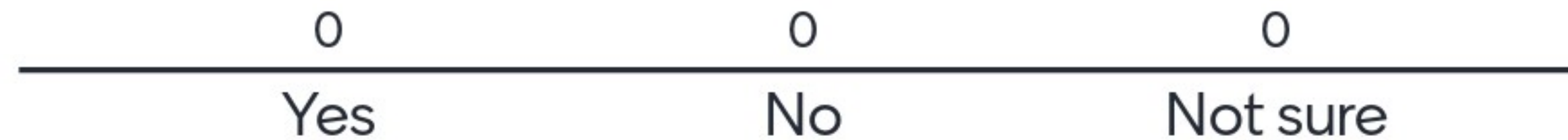
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Secondary Legislation

- The Competition Act 1998 (Research and Development Agreements Block Exemption) Order 2022

...

Does this align with your experiences in your own country?



What are your top concerns when it comes to operationalizing due diligence and research security protocols?



Menti poll:

Q3 What are your top concerns in operationalising a response to new research security requirements?

What are your primary concerns in operationalising new controls in relation to Trusted Research and security in international research collaboration?

Understanding of the information needed to satisfy Trusted Research and security requirements

Access to guidance and training relevant to Trusted Research and security decision-making

Specific skills needed to operationalise Trusted Research and security requirements

Capacity of professional services staff to operationalise Trusted Research and security requirements

Ability to recruit or access personnel with expertise on the Trusted Research and security requirements

Ability to access products or tools that enable effective compliance on the Trusted Research and security requirements

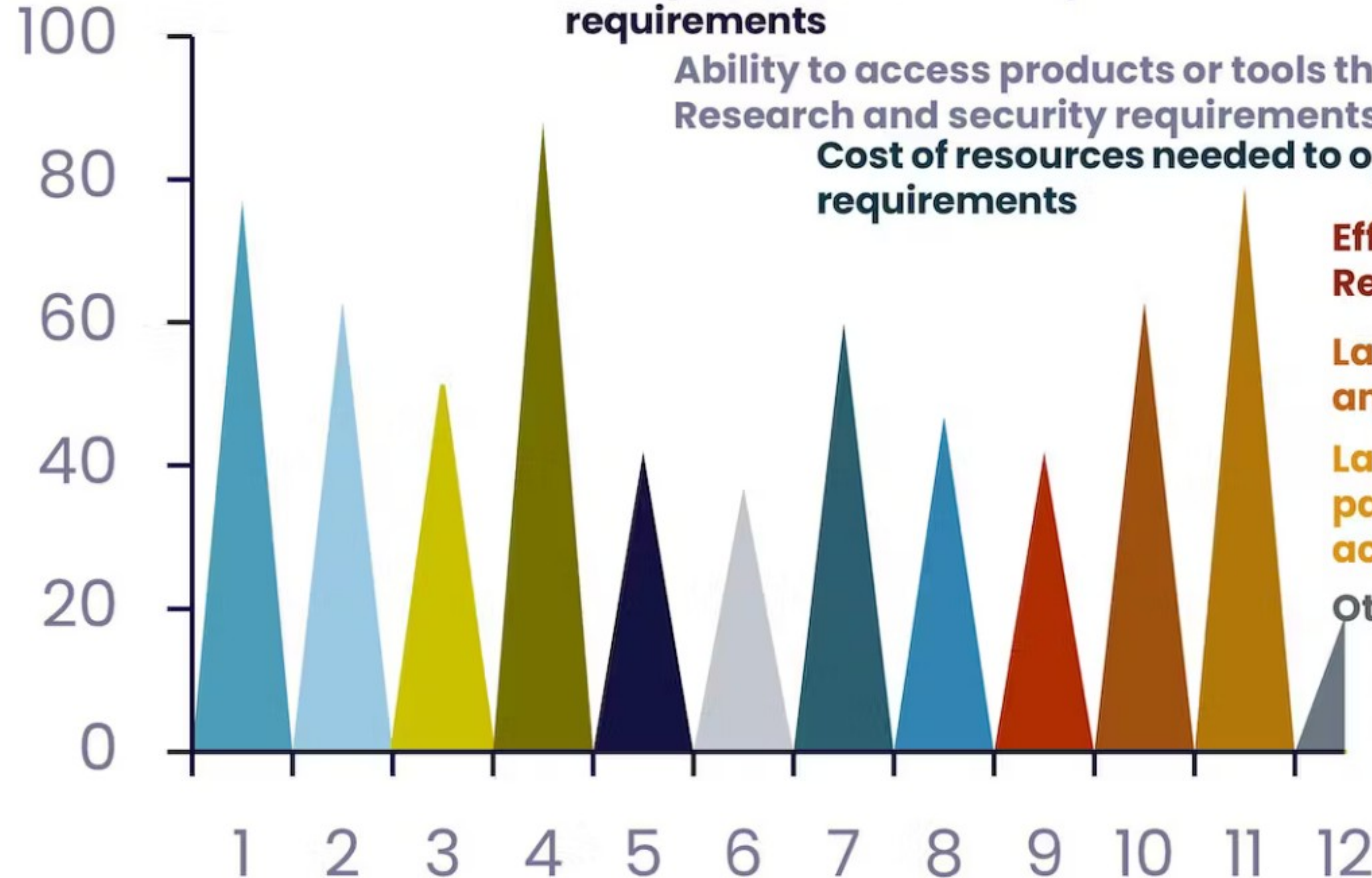
Cost of resources needed to operationalise the Trusted Research and security requirements

Efficiency of implementing Trusted Research and security requirements

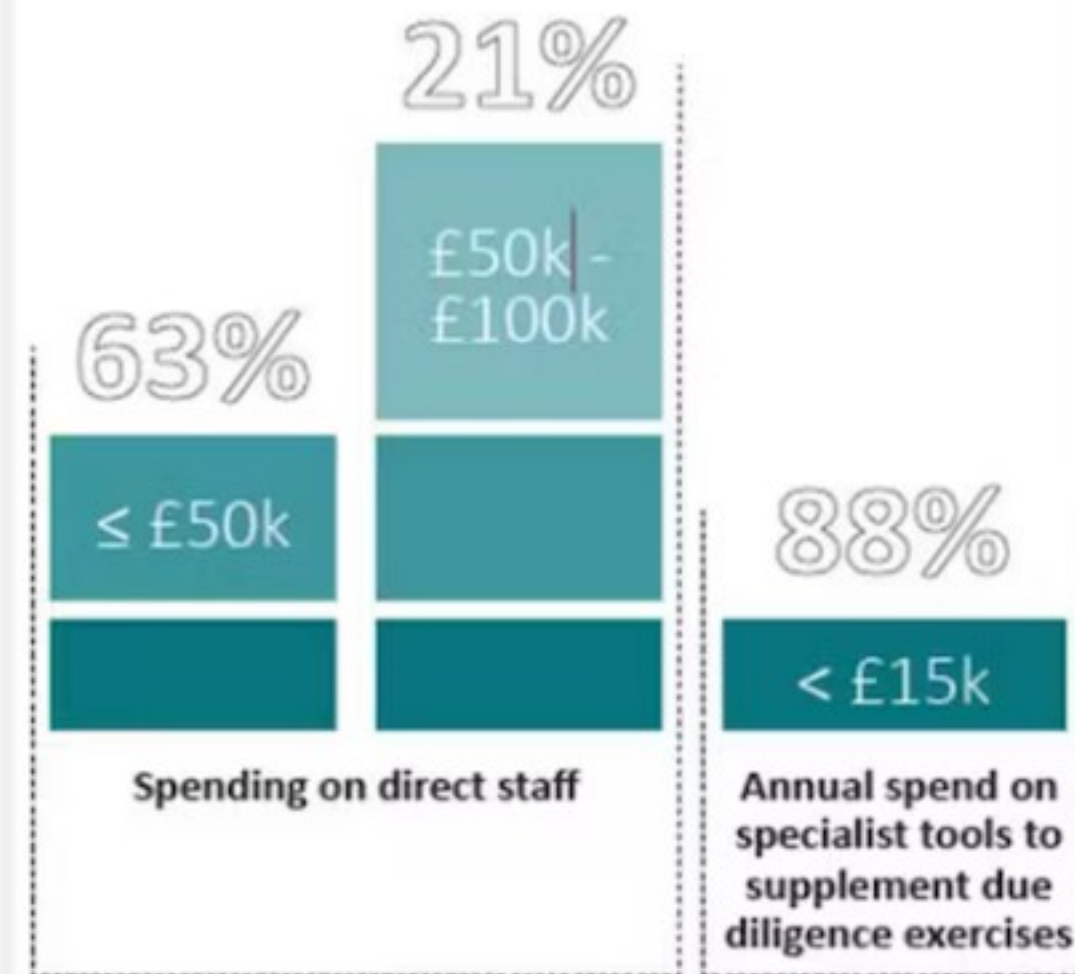
Lack of a central repository for Trusted Research and security information

Lack of understanding of individuals participating in high-risk collaborations or activities

Other



Spending statistics of research organisations on Due Diligence support

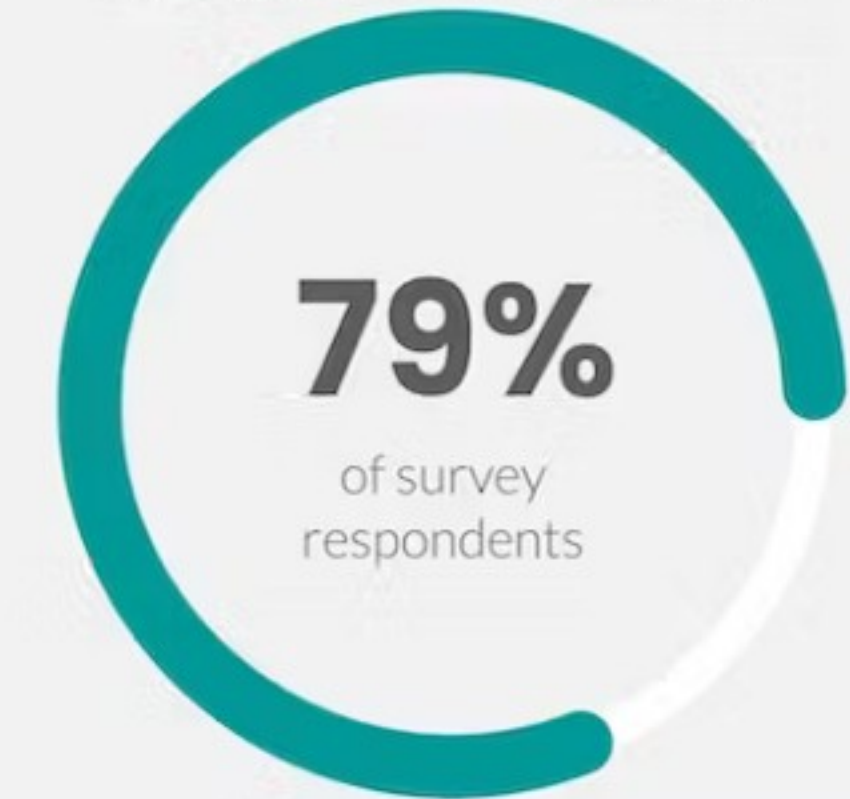


ANNUAL COST £9.5 – £10.8 million per annum

How do you expect these costs to change over the course of the next year?



DUE DILIGENCE QUESTIONNAIRE



are using the ARMA due diligence questionnaire as part of their process

RESPONSE TO TRUSTED RESEARCH/RESEARCH SECURITY

84%

HAVE BEGUN THE PROCESS OF ADAPTING

33%

BELIEVE THEY HAVE COMPLETED THE PROCESS

TOP 3 CONCERNS IN OPERATIONALISING TRUSTED RESEARCH

Capacity of professional services staff to operationalise trusted research and security requirements

#1

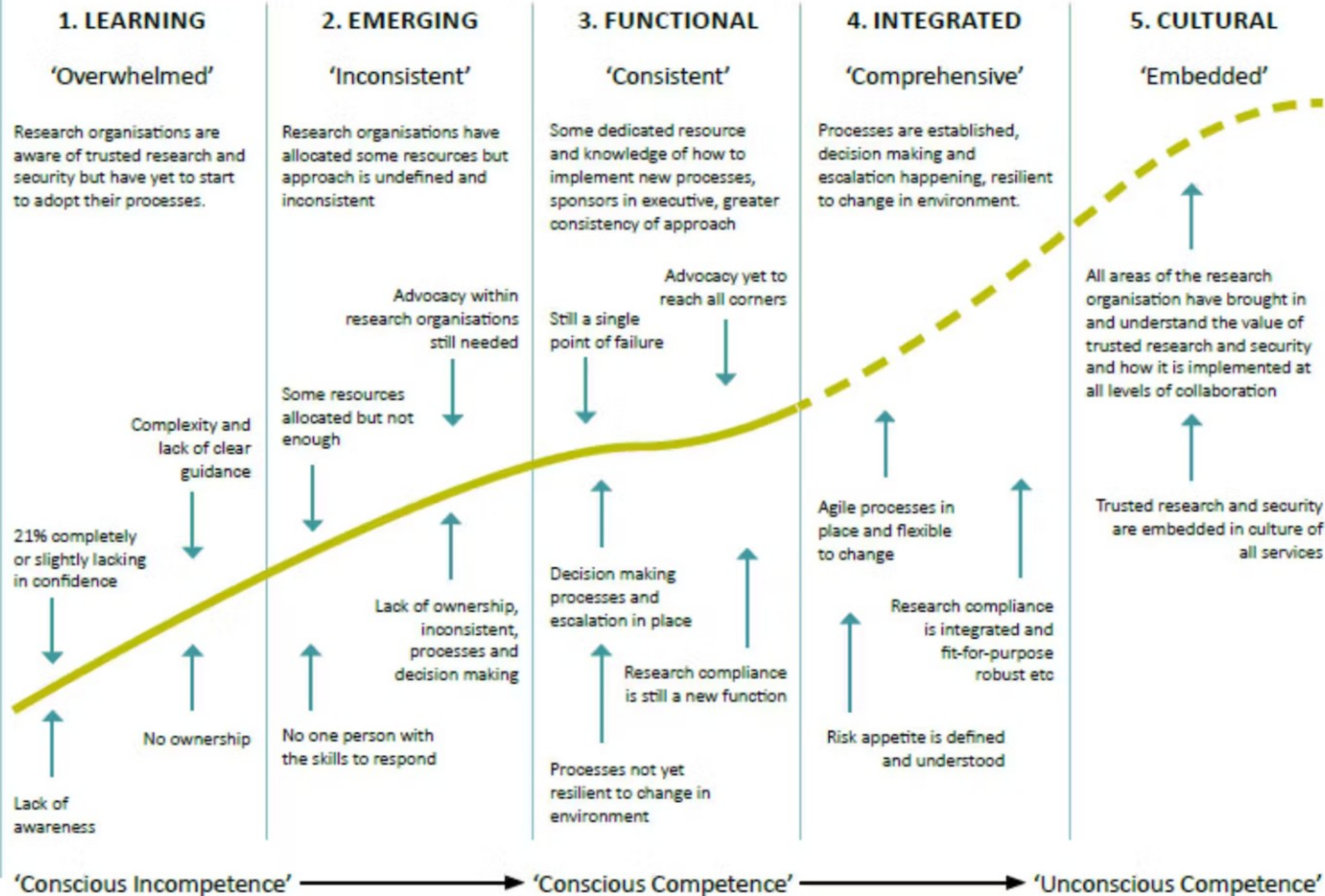
Lack of a central repository for trusted research and security information

#2

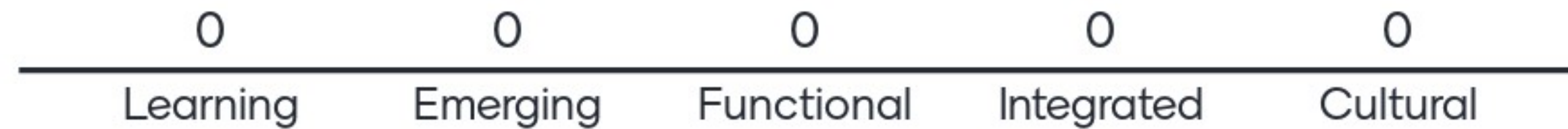
Understanding of the information needed to satisfy trusted research and security requirements

#3

Trusted research maturity curve



Where would you place your organisation on the maturity curve?



RESEARCH OUTPUTS FEATURING INTERNATIONAL CO-AUTHORSHIP

56%

OF OUTPUTS BY
PARTICIPANT
RESEARCH
ORGANISATIONS

89,146

INDIVIDUAL
INSTANCES

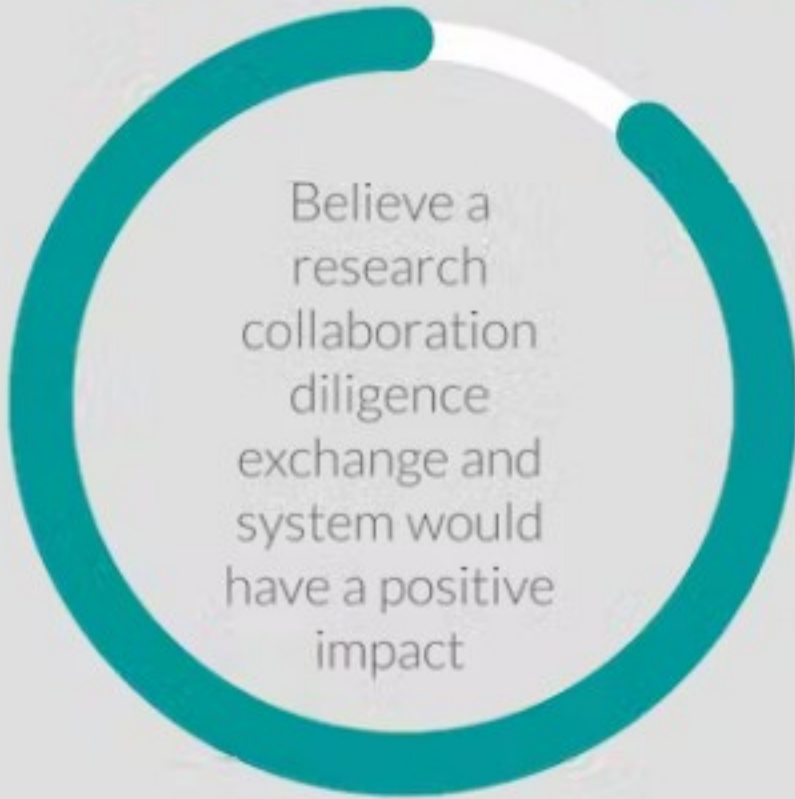


ESTIMATED EFFICIENCY SAVINGS

46%

AVERAGE PER INSTITUTION WITH
ACCESS TO RESEARCH
COLLABORATION DILIGENCE
EXCHANGE AND SYSTEM

90%



Believe a
research
collaboration
diligence
exchange and
system would
have a positive
impact



APPETITE TO
ENGAGE

KEY

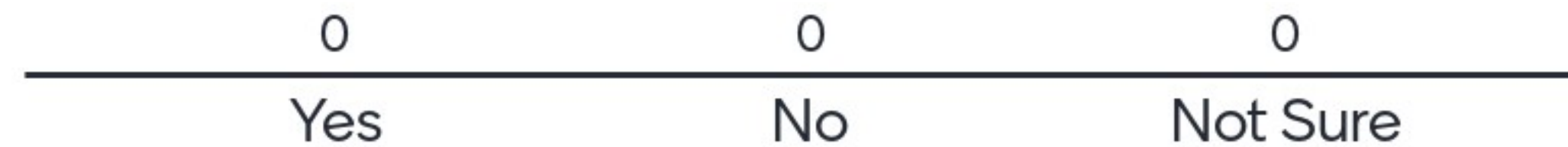
CONSIDERATIONS



BREAKDOWN BY RESEARCH
INCOME

Institution RGCI Banding	Efficiency Saving
£0 ≥ £1,000,000	38%
£1,000,000 ≥ £5,000,000	33%
£5,000,000 ≥ £10,000,000	55%
£10,000,000 ≥ £50,000,000	49%
£50,000,000 ≥ £150,000,000	32%
£150,000,000+	18%

Do you believe that a national system to support due diligence and research security requirements would have a positive impact for your institution?



Our recommendations

Quick Wins

“There is significant appetite for more collaborative working and significant opportunity to improve practice across the sector with coordinated action”

RESEARCH ORGANISATIONS

- Additional / dedicated resource
- Access to software / databases
- Investment in staff development / expertise
- Drive greater cooperation between departments and institutions, while establishing a clear lead department and contact
- Improved guidance on risk appetite / proportionality
- Greater engagement from senior management
- Increased standardisation across institutions
- Greater clarity of roles and responsibilities
- Senior level advocacy

RESEARCH FUNDERS

- Work together to develop more consistent requirements
- Share more detailed case studies (good and bad)
- Communicate consequences of failure (e.g. will there be leniency in learning phase)
- Make costs recoverable or otherwise provide funding to support additional requirements
- More detailed advice and guidance
- More transparency around assurance processes for trusted research
- More detailed training opportunities

GOVERNMENT/REGULATORY BODIES

- Work together to develop more consistent requirements and guidance
- Share more detailed information on the need for regulation
- Share real examples of risks materialising
- Share real examples of sanctions imposed
- Share statistics relating to compliance
- Provide training and development opportunities
- Make resources more accessible (e.g. dual use lists)

ARMA

- Create more opportunities for due diligence managers to convene and discuss operational challenges
- Create more opportunities for leadership to convene and discuss strategic challenges
- Facilitate greater standardisation across institutions
- Facilitate knowledge sharing and development of best practice
- Maintain online library of resources

Recommendation One: A series of regular round table events with key sector stakeholders including research managers, academics and policy makers should be established to continue conversations and build on relationships developed during this project, ensuring ongoing coordination and collaboration in the area of trusted research and security.

Recommendation Two: A series of best practice exchange events and training courses should be developed and launched to support research organisations in their implementation of research security policies and procedures.



Resource Building

“Our data has shown that inaction is not an option and that there is both an overwhelming need and support for a sector-led intervention which has the potential to deliver significant benefit across the whole ecosystem”

Recommendation Three: A research compliance unit should be established within an independent sector body to bring together existing tools, guidance, and training and to co-create and maintain further tools and training, with the sector, for use by the sector. It should be tasked to engage with a broad range of stakeholders to ensure that the advice, guidance and support it provides address the needs of a diverse range of institutions.

Recommendation Four: The ARMA due diligence questionnaire should be reviewed and updated to produce a revised version that more comprehensively addresses trusted research and security related issues.



Recommendation Five: A new checklist should be developed that provides for the internal checks and desk-based research that need to be carried out within the institution on both broader due diligence and trusted research and security related issues.

Recommendation Six: A tool kit and resource bank should be developed and maintained to complement the revised questionnaire and new checklist. This should be made freely available, ensuring greater knowledge sharing and support across the sector.

Recommendation Seven: The research compliance unit should establish a new working group of early adopters to trial the published questionnaires and checklists, and the sharing of completed questionnaires and checklists within the parameters of technology currently available to all research organisations. The early learning and insight from this trial should inform the development of future services and a system-based solution.



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Service and System Development

“Over 90% of respondents felt a sector-led system and service would have a positive impact on efficiency, equity, quality and security for their institution”

Recommendation Eight: As it develops and grows, the research compliance unit should be spun out to establish a national research compliance office, established to address the unmet need within the sector and drive both operational and cultural change around due diligence, trusted research and security.

Recommendation Nine: During the initial incubation period of the research compliance unit, hosted within an appropriate sector body, it should be tasked with developing:

- a) a full business plan for spin out including a governance structure, a stakeholder engagement plan, and a sustainable financial model.
- b) a technical specification and requirements for a research compliance system and to identify a technical partner through a tender process to deliver the solution for the sector.



Recommendation Ten: The teams engaged to form the research compliance office should include rotating fixed term secondments from research organisations, ensuring strong insight into research operations and supporting the development of knowledge and expertise across the sector.

Recommendation Eleven: The research compliance office should provide support services including tools, resources, advice, guidance, and training for sector, acting as a vehicle for culture change through its advocacy and engagement.



Recommendation Twelve: A central function of the research compliance office will be to host a research compliance system. The system should be developed with three pieces of core functionality. The design and build should take a modular approach, enabling each component to be accessed by the sector as it is developed. The core functionality will be:

- a) The ability to host and share core due diligence questionnaire data points that would be completed by partners
- b) The ability to host data relating to internal due diligence and desk-based research and decision making related to individual projects
- c) The ability to draw data from open access and commercial governance, compliance and risk software systems

Recommendation Thirteen: The research compliance unit should provide data to test and pre-populate the research compliance system with any due diligence information submitted as part of any interim solution developed with early adopters.



“Accessibility, credibility, quality, efficiency and value were the most important factors in determining whether to engage with a clearing house and national service”

General

“We propose that a research collaboration diligence exchange should be an authoritative voice regarding due diligence and Trusted Research to drive cultural and operational change”

Recommendation Fourteen: The initial development of the research compliance unit, research compliance office and research compliance system should be grant funded by UKRI, potentially in partnership with a broader consortium of UK research funders and/or government departments.

Recommendation Sixteen: The involvement of international peers has been invaluable to this project and each of the initiatives proposed should continue to encompass international engagement to ensure ongoing knowledge sharing and collaboration.

Recommendation Fifteen: The funding should continue through a tapered mechanism over a five-year period that allows for the entity to become resilient and financially sustainable while delivering demonstrable value before moving to a subscription and service-based funding model.



Discussion

Q5 Do you think that these recommendations have relevance where you are?

Discussion

Q6 Would you like to see more international collaboration in this space?



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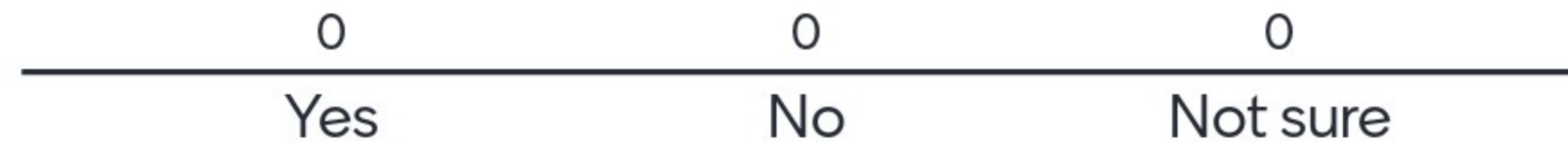
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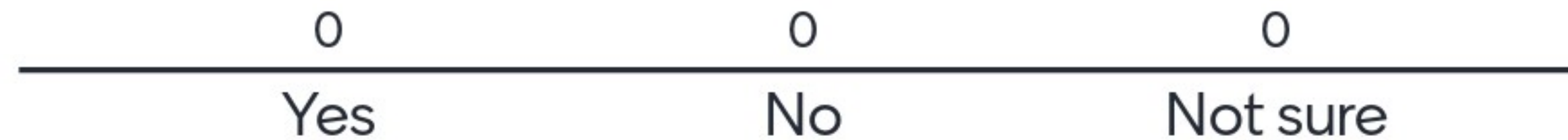
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Do you think the recommendations we have made would have relevance where you are?



Would you like to see more international collaboration in this space?



Ask us anything

0 questions

0 upvotes

