MINUTES of the Inaugural Meeting of the ESSENCE Mechanism for review of investments in research capacity strengthening in low- and middle-income countries (the ESSENCE Mechanism)

4-5 June 2020 14:00–16:30 Central European Time 15:00-17:30 East Africa 08:00–10:30 Eastern (USA)

**Meeting objective:** To convene an inaugural meeting of the ESSENCE Mechanism by bringing together global funders and stakeholders to strengthen capacity for health research in low- and middle-income countries (LMICs) through the review of investments, identification of gaps and identification of opportunities to enhance coordination and collaboration.

**Facilitators:**  
Peter Kilmarx, FIC/NIH and Thabi Maitin, MRC South Africa, Co-chairs WGRI

**Moderators:**  
Montasser Kamal, IDRC; Rodrigo Correa Oliveira, Fiocruz; Yaso Kunaratnam, UKCDR; Marta Tufet, UKCDR; Thabi Maitin, MRC SA; Garry Aslanyan, TDR/ESSENCE

**Encl.:**  
Annex 1 – Agenda  
Annex 2 – Poll result

**Attach.:**  
List of Participants  
PowerPoints Presentations (available on request)
1. **Welcome - Hannah Akuffo, Sida, and Linda Kupfer, FIC/NIH, Co-chairs ESSENCE**

The co-chairs welcomed everyone to the inaugural meeting of ESSENCE Mechanism and invited the participants to have an active and engaged discussion about the ESSENCE Mechanism for review of investments. This was followed by a short presentation by way of background on the establishment of ESSENCE1 (*Enhancing Support for Strengthening the Effectiveness of National Capacity Efforts*) in Stockholm in 2008, and the significant role that ESSENCE is playing in bringing together key funders of health research to identify synergies and work collaboratively through enhanced policy dialogue to promote better strategic cooperation between funding partners.

The presentation focuses on the case for articulating a mechanism for review of investments in response to World Bank and the Coalition for Epidemic Preparedness Innovation (CEPI) report, *Money and Microbes* (M&M); as well as its inaugural meeting. The co-chairs highlighted that huge strides have been made since the first stakeholder engagement in Geneva towards developing a mechanism for review of funding, and encouraged the participants to help advance this area of work by bringing their expertise and experiences around the discussion on supporting the filling of health research capacity gaps in LMICs throughout the two days of the meeting.

2. **Background and objectives of the ESSENCE Mechanism - Peter Kilmarx, FIC/NIH, and Thabi Maitin, MRC SA, Co-chairs Working Group on Reviewing Investments (WGRI)**

Acknowledging the case for convening the inaugural meeting of the ESSENCE Mechanism as presented by the ESSENCE co-chairs, Peter Kilmarx in his presentation and as part of the background informed that the main recommendation from the M&M report was that research capacity building should be considered an element of pandemic preparedness and a component of global health security agenda. Stated that the report also focuses on a number of other recommendations, and one of which directly mentioned ESSENCE to identify and articulate a mechanism for review of investments in health research capacity strengthening, as periodic review and overview of capacity and efforts to strengthen capacity in LMICs were lacking. The presentation captured the on-going work of WGRI in providing data and insights critical to identifying gaps that can be addressed through collaborative action from participants in the mechanism (i.e. WHO Global Observatory on R&D, ESSENCE and World RePORT), and the opportunity to advance the work in a collaborative manner to enhance or support filling of health research capacity gaps in LMICs.

The working group is continuing work on implementing the mechanism, working on three distinct but complementary areas relevant to the three interdependent workstreams of the mechanism. These are more specifically, **Data and Metrics, Coordination and Collaboration, and Filling Gaps**, noting the topic leaders will further discuss on their key activities and progress to date to inform and drive the discussion. Highlighted that this will be an iterative process of learning as the working group takes the task forward, but most certainly would welcome participants’ recommendations and support in developing a functioning mechanism that can increase efficiency and equity, and decrease duplication of efforts in countries with the lowest level of research capacity.

3. **Discussion regarding the three tropical areas**

   - **Data and Metrics (Michael Cheetham, FIC/NIH; Taghreed Adam, WHO)**

The data and metrics topic lead gave a brief summary of the work done so far noting that the priorities were to conduct high level review of the current health research capacity levels in LMICs building on larger-scale and long standing efforts of World RePORT and WHO Global Observatory; come up with a minimum viable product for assessing capacity strengthening efforts through proxy data; and a starting point to inform this discussion. Have developed basic metrics using widely available data to characterize health research capacity at national level, including number of grants to countries, clinical trials registered and publications. Reflect on the limitations of the metrics using examples of WorldRePORT and Publications that are imperfect in some way to the team’s ultimate assessment. Following this meeting, the team will be making recommendations to further improve the data, communicate and further refine.

This was followed by Taghreed Adam’s detailed presentation on the *WHO Global Observatory on Health R&D* (built to contribute to data and information sharing on capacity and gaps), and the National Health Research Systems (NHRS) conceptual framework and progress to date on generating information and analysis on the status and use of health research. The presentation focuses on what can be seen in the Observatory and how data that is relevant to WGRI’s work can be explored. Stated that the scope of the Observatory is all health related field and all types of research,

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1 ESSENCE on Health Research is an initiative that allows donors/funders to identify synergies, bring about coherence and increase the value of resources and actions for health research. More information: http://www.who.int/tdr/partnerships/essence/
using data from public or private sources, and data harmonization, management and methodologies in its analyses. Further information on the Observatory available online.

During the course of the discussion,

- Some common themes emerged including the need for common metrics and a common definition for national research capacity, data availability and quality, the need to prioritise indicators, and the importance of understanding domestic research investments.
- The questions on how robust the data in the Observatory is and how the four basic indicators are pulled into the composite indicator were raised. It was noted that raw data were used as indicated in the report without any manipulation as developing a sophisticated related tool would require a much more elaborate process.
- With regard to low-income countries contributing data to the databases, it was noted that for World RePORT, the addition of LMIC level data is on the development agenda and ongoing.

- Models for coordination and collaboration (Linda Kupfer, FIC/NIH; Maria Uhle, Belmont Forum; Allen Mukhwana, AAS)

The topic lead presented on the different models of collaboration and coordination identified based on the purpose of the research capacity strengthening intervention, noting priority was to review the prevailing models of multi-funder, multi-stakeholder collaboration in health research capacity strengthening in LMICS. Have adapted the conceptual framework from Grantmakers for Effective Organizations (GEO) and surveyed the working group members for examples and case studies where the different models have been implemented for interview and review of their collaboration approaches in order to provide a conceptual framework and guidance for this work. Following this meeting, the plan is to work on implementation activities including countries stakeholders’ engagement, communicating and continuing updating to continue the work.

Both speakers from Belmont Forum and AAS presented a brief overview of their collaboration model and key lessons learned in dealing with different views, topics and barriers to collaboration. To answer the question on the important features that makes collaboration successful, it was noted that flexibility is key to Belmont’s collaboration process, and funding of research that has capacity building inherent in the project to lower collaboration barriers. A reciprocal membership with ESSENCE to achieve the global good was advocated by Belmont. With regard to the types of collaborations that the mechanism could facilitate to address capacity gaps in LMIC, some of the Alliance for Accelerating Excellence in Science in Africa’s (AESA) coordination mechanisms that addresses Africa’s development challenges were outlined for consideration including DELTAS Africa, H3Africa, Clinical Trials Community and Grand Challenges Africa. More information on the mechanisms here.

Key points noted in the discussion:

- There have been huge advances in capacity in LMICs in recent years and improvements in data availability and quality, and lots of best practices and room for better coordination of resources and actions with other funders.
- Different collaborations would require different strategic alliances, and geography and language need to be ken into account in collaborations.
- A common ground reached on coordinated funders mechanisms and their usefulness in reducing duplication of efforts and in creating synergies that lead to high outcomes.

- Filling gaps (Simon Kay, Wellcome; Sam Kinyanjui, KEMRI-Wellcome)

An overview of the work done so far was presented by the topic lead especially on their attempt to match the level of research capacity with the level of urgent need using the outlook from the data and metrics group. Have identified a diverse list of countries that have relatively high needs and lowest research capacity and initiated a key study of the eight countries identified. Mentioned that the initial interviews revealed a lot of investments are made, but not all are targeted or properly used. Future plans include looking for best practices and barriers and ways to focus resources and efforts on countries with the greatest need and lowest capacity, and then communicating that information and further updating the work.

From Sam Kinyanjui’s perspectives, filling of gaps in the eight countries identified will require thinking beyond funding issues but more on adopting a system approach. With this view and to impact research in these countries, it is essential for funders to have strong collaboration models and find ways of engaging with decision makers to consider research as an important driver for policies and decision making. However, this would require some high level engagement from institutions that have political crowd like TDR, AAS, NEPAD and ESSENCE that brings together the collective crowd of different funders.
The following points were raised in the discussion:

- It is essential to specify funding for research capacity when funding research, and to build capacity for data analysis and equipment that are fundamental to having quality controlled research institutions but often not mentioned in capacity strengthening debate.
- Local funding identified as an important component of filling capacity gaps in LMICs as funding internationally is not readily available and funding for capacity research not always sustainable.

4. Input on the preliminary findings on the three workstreams - Nicole Lurie, CEPI; Nelson Sewankambo, Makerere University College of Health Sciences

The two speakers discussed on the work they are doing to support coordinating activities to improve strengthening capacity in countries at risk, and reaffirmed the relevance of the work that ESSENCE has done compared to the other recommendations assigned in the M&M report. With regard to the initial findings, Nelson Sewankambo mentioned that ESSENCE is indeed shaping an important dialogue aimed at changing how funders work and how they should be collaborating more with the intended benefits to the bottom billion (i.e. countries at the lowest level of research capacity). He underlined that ‘country voice’ is important and considers it useful to secure country leadership early in the process to ensure their buy-in. A note was also made to broaden the mechanism to include funders for research for health which is much broader than funders of health research, and correspondingly capacity building for research for health.

Nicole Lurie commented on the conversations that have further revealed the same theme that prompted the International Vaccine Task Force (IVTF) to make a number of recommendations and one of which directly mentioned ESSENCE about funders coordination around capacity building needs that continue to be faced in LMICs. On continuing work on implementing the mechanism, she encouraged the group to consider country readiness and other surprises out there, and how to further build on current efforts. CEPI would welcome further thoughts on how to support some of the group’s effort moving forward.

Conclusions and follow up:

- Consider developing a metric that measures what is happening in countries with low levels and a metric for national investments (public and private) as the metrics for funders are refined; reflect on the hub and spoke models or buddy system to capacity strengthening in least resourced countries to balance occasional competing interests of strong science and capacity strengthening; and continue the thematic dialogue not just with research funders but with the World Bank on some of the elements they have committed to.

5. Next steps for the topical areas

- Data and Metrics (Craig Hammer, World Bank; Muchiri Nyaggah, LDRI)

Both speakers shared their thoughts on the coordination mechanism in relation to their work and experiences, and what their thoughts are on next steps for the data and metrics team to achieve the vision of the mechanism. Muchiri Nyaggah noted that LDRI is particularly interested in systems strengthening and the ability to measure how the system as a whole is functioning; and reiterated that the work of ESSENCE mechanism is of particular interest especially in LDRI’s advocacy efforts on improved domestic resource mobilization for the health sector and the desire for data capacity for decision making.

Craig Hammer commented on the relevance of the mechanism specifics as well as a number of priorities set by the World Bank that are relevant to the three objectives of the report including the dedicated financing mechanism (GFF) to improve health outcomes and Global Data Facility to crowd resources in for a range of data priorities. The question on whether World Bank can be part of the working group as ESSENCE takes on the recommendations made by the report and whether there was supposed to be World Bank funding for research capacity following the M&M report through the International Development Funding (IDA) were raised in the discussion.

Thoughts on next steps:

- Start with a minimum viable set of indicators that represent the aspect that funders are most interested in to ensure the product has utility; consider the cost of collecting data vis-à-vis the demand; beware of exacerbating fragmentation (ensure work is demand-driven, set a target); and consider opportunities to align and collaborate with development partners with shared priorities at a high level including the Global Partnership, Global Partnership for Sustainable Development Data, and African Economic Research Consortium.
Collaboration and Coordination (Thy Pham, BMGF; Thomas Nyirenda, EDCTP)

Thy Pham and Thomas Nyirenda discussed how their organizations engage collaboration and coordination mechanism to address gaps and needs across the ecosystems and keep track of the outcomes and the challenges with coordination models, as well as what approaches are used. Mentioned that ESSENCE mechanism is needed from their organizations to inform business plans, funding and funding decisions, and to help them work collaboratively with others to measure what has been done, indicating their commitment to the process. Further noted that it is clear there are lots of fragmentation and opportunities for funders to play active role in helping to coordinate partners to look at ways to fill capacity gaps and needs across the ecosystems.

Conclusion and next steps:
- Further reflect on how COVID-19 is going to change the global research system and use the crisis as an opportunity to make the case for a longer-term vision and a collaborative approach; as well as consider investments in developing networking and supporting it perhaps through webinars, workshops and awards collaboration. Concluded that country engagement and the research to policy interface are important to this work.

Filling Gaps (Bassirou Bonfoh, Afrique One-ASPIRE; Michelle Jimenez, Unicef)

Both speakers brought their different expertise to the discussion and raised cross-cutting points especially Michelle Jimenez from the funder and recipient side and from the Latin America perspective. Noted that professionalizing research, national government funding (key to developing ecosystems), and the enabling environment usually taken for granted but key in encouraging research are the key needs that could be addressed either with a scheme or a funding mechanism. Further underlined that capacity development should be aligned around national priorities and strategic input from governments.

There were other insightful ideas from both speakers for funders to consider around the theme that has emerged on mobilization of domestic resources and ensuring that national agendas are taken into consideration to ensure research is not only aligning to funders agenda. Leveraging regional intergovernmental initiatives and co-opting them into mechanisms like the ESSENCE mechanism was also advocated. Overall, the question on how to bring local government leadership and resourcing to assure higher impact generated a lot of discussion during the session.

Thoughts on next steps:
- Consider the inclusion of gender barriers in the mechanism and reflect on how countries at the lowest level could have the right policies and ecosystems to build research capacity.

Next steps for the mechanism - Luis Gabriel Cuervo, AMRO/PAHO; John Reeder, TDR/WHO

In the discussions to identify next steps for the mechanism, there was synergy between the two speakers on coordination and collaboration to increase support to countries to develop their own agenda for research, in-country systems, equitable partnerships and gender. According to Luis Cuervo, there has been a clamour for research specific for countries needs and opportunities of working in a collaborative way to increase countries power of research in the time of COVID-19. With this view, he encouraged funders to unleash the power of purse to have articulate ecosystems and to push for gender and ethnic balance in research noting ESSENCE mechanism will help to systematically streamline and uptake of standardized indicators, increase the value of research and reduce research waste.

John Reeder underlined that this is a worthwhile exercise and an important aspect in ensuring coherence in coordination noting WHO is encouraged by the ongoing work of the Global Observatory on Health R&D and how relevant it would be for ESSENCE WGR1’s work. Noted that TDR is committed to continue playing a strong role in supporting ESSENCE Secretariat on the way forward on implementing the mechanism and open to the dialogue to see how the Observatory can assist in this aspect. Are also looking at some of the aspects of embedding gender features into research across a whole multi-sector and intersectional approach. The newly published TDR intersectional gender research strategy is available online.

Conclusions and next steps:
- Consider the integration of the elements that have changed over the years including the regional and national policies that have developed and big data on capacities, local funding and engagement, outputs and resources for research as the mechanism is further refined; as well as integrate gender considerations and thoughts about how concerted efforts to address gender gaps in science can be followed up and reported in a coordinated manner.
- Gaps in the ecosystems are a challenge for research capacity strengthening globally in relation to LMICs. It is essential to identify and further reflect on building the research ecosystems to ensure it contributes to this dialogue going forward in terms of how funders fill gaps.
7. **Reports - Martin Eigbike, Consultant, WGRI; Garry Aslanyan, TDR/ESSENCE**

- The consultant acknowledged the value of the stakeholder engagement and the consensus reached on the three topical areas worth reviewing further. Following this meeting, the report will be refined to become a document that can reflect the discussion in terms of how to leverage other existing mechanisms and strengthen data transparency for health research capacity and investments, and then championing that in the next two to three years ahead. The timeline for data gathering and producing the final document is tentatively fixed for 30 June 2020.

- On dissemination and communication planning, it was noted that ESSENCE will follow up with the World Bank, CEPI and Global Preparedness Monitoring Board (GPMB) to ensure the final report fits in with global practices on health. Will further refine the initial findings based on the input provided at this meeting and any written comments received through the questionnaire (open until 12 June), as well as communicate to the overall ESSENCE membership. Suggestions on how best to engage other initiatives especially those who participated in this meeting to either join or partner with ESSENCE to broaden its outreach and engagement as the mechanism matures will be appreciated.

8. **Concluding remarks - Hannah Akuffo; Linda Kupfer; Peter Kilmarx; Thabi Maitin**

The co-chairs thanked the participants for their time and valuable insights in shaping an important dialogue aimed at producing actionable recommendations that assures important national clinical research capacity in low- and middle-income countries, and WGRI members and consultant who contributed to this area of work. Acknowledged the endorsements for continuing the work and the good guidance in finishing the report, noting the agenda is deepening to include thematic dialogue on ecosystems and policy environment which is not typically the role of funders.

It was mentioned that the ESSENCE Mechanism calls for periodic meeting and at least annually to follow up on the thinking around strengthening capacity for health research in LMICs through the review of investments, identification of gaps and opportunities to enhance coordination and collaboration. There will be a follow up meeting to think of regional approaches or other ways of implementing this work around coordination, noting the goal is to better understand how funders can work together to deliver improved collective results. The co-chairs look forward to welcoming everyone in 2021 to continue the debate on coordinating investments in strengthening capacity for research for health.

9. **Any other Business**

- A poll was launched on Day 2 asking if funders should target significant resources for research capacity strengthening to countries with the lowest levels of research capacity or should funding prioritize scientific excellence even if it results in funding inequity. The result shows that a balanced approach with funding reserved for countries with the lowest levels of research capacity was the most favoured (Annex 2).
Annex 1 – AGENDA

Thursday, 4 June

<table>
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<tr>
<th>Time</th>
<th>Item Content</th>
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<tr>
<td>13:55</td>
<td>Participants to connect at least 5 minutes in advance.</td>
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| 14:00 | **1. Welcome**  
**Objective:** To welcome participants and provide background information on the ESSENCE on Health Research initiative  
- **Hannah Akuffo,** Co-Chair ESSENCE, Senior Specialist, Methods in Research Cooperation, Swedish International Development Cooperation Agency  
- **Linda Kupfer,** Co-Chair ESSENCE, Senior Scientist, Fogarty International Center, National Institutes of Health, USA |
| 14:10 | **2. Background and objectives of the ESSENCE Mechanism**  
**Item time:** 30 minutes, including discussion  
**Objective:** To provide background information on the ESSENCE Working Group on Review of Investments (WGRI) activities to date, and objectives, methods, agenda and anticipated outcomes of this inaugural meeting of the ESSENCE Mechanism.  
- **Peter Kilmarx,** Co-Chair WGRI, Deputy Director, Fogarty International Center, National Institutes of Health, USA  
- **Thabi Maitin,** Co-Chair WGRI, Division Manager, Research Capacity Development, South African Medical Research Centre |
| 14:40 | **3. Discussions on data and metrics, models for coordination and collaboration and filling gaps**  
**Item time:** 30 minutes each  
**Objective:** To present preliminary findings of each of the three main topics, with an opportunity for clarification and discussion.  
**Moderator:** Montasser Kamal, Program Leader, Maternal and Child Health, International Development Research Centre, Canada  
- **Data and metrics – Michael Cheetham,** World Report, FIC/NIH/USA – 10 minutes and  
**Taghreed Adam,** Scientist, World Health Organization (perspective: WHO Observatory framework effort) – 10 minutes  
**Discussion / Q&A – 10 minutes**  
- **Models of collaboration and coordination – Linda Kupfer,** co-chair, ESSENCE – 10 minutes  
  - **Maria Uhle,** Program Director for International Activities, National Science Foundation, Board Co-Chair, Belmont Forum, USA – 5 minutes  
  - **Allen Mukhwana,** Coordinator, ReMPro Africa, African Academy of Sciences, Kenya – 5 minutes  
**Discussion / Q&A – 10 minutes** |
- **Filling gaps** – Strengthening capacity in countries and institutions with low levels – Simon Kay, Head International Operations and Partnerships, Wellcome Trust, UK – 10 minutes
  - Sam Kinyanjui, Head of Training and Capacity Building, KEMRI-Wellcome Trust Programme; Director, Initiative to Develop African Research Leaders (IDeAL), Kenya – 5 minutes

Discussion / Q&A – 15 minutes

**16:10** 4. Discussants

Item time: 5 minutes each

**Objective:** To provide high-level input from key stakeholders on the preliminary findings presented above

**Moderator:** Hannah Akuffo, Co-Chair ESSENCE

- Nicole (Nicki) Lurie, Strategic Advisor, CEPI (Coalition for Epidemic Preparedness Innovation), USA
- Nelson Sewankambo, Professor, Makerere University College of Health Sciences, Uganda

**16:20** 5. Wrap up Day 1

- Peter Kilmarx and Thabi Maitin, Co-chairs WGRI
- Q&A
- Preview of Day 2

Adjourn at 16:30

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**Friday, 5 June**

**13:55** Participants to connect at least 5 minutes in advance.

**14:00** 6. Welcome, summary of Day 1, overview of Day 2

- Peter Kilmarx and Thabi Maitin, Co-chairs WGRI (15 Minutes)

**14:15** 7. Next Steps for the topical areas discussed

Item time: 20 minutes each

**Objective:** To hold moderated discussions of each of the three main topics of the meeting, including next steps, with input from key stakeholders and meeting participants.

**Moderator:** Rodrigo Correa Oliveira, Vice-President for Research and Biological Collections, Fundação Oswaldo Cruz (Fiocruz) Brazil
- Data and Metrics - **Yaso Kunaratnam**, Research and Policy Officer, UK Collaborative on Development Research (UKCDR)
  - Discussant – **Craig Hammer**, Secretary, Development Data Council, World Bank, USA – 5 minutes
  - Discussant – **Muchiri Nyaggah**, Executive Director, Local Development Research Institute, Kenya – 5 minutes
- Collaboration and Coordination – **Garry Aslanyan**, ESSENCE
  - Discussant – **Thy Pham**, Senior Program Officer, Bill & Melinda Gates Foundation, USA – 5 minutes
  - Discussant - **Thomas Nyirenda**, Strategic Partnerships & Capacity Development Manager, European & Developing Countries Clinical Trials Partnership (EDCTP), South Africa – 5 minutes

Discussion / Q&A – 10 minutes

- Filling Gaps – **Marta Tufet**, Executive Director, UK Collaborative on Development Research, (UKCDR)
  - Discussant – **Bassirou Bonfoh**, Director of Afrique One-ASPIRE at Centre Suisse de Recherches Scientifiques, Côte d'Ivoire – 5 minutes
  - Discussant – **Michelle Jimenez**, Senior Programme Associate, UNICEF Peru, Peru – 5 minutes

Discussion / Q&A – 10 minutes

15:15

8. Next steps for the ESSENCE Mechanism

Item time: 5 minutes each

**Objective:** To hold a moderated discussion of the overall output of the ESSENCE Mechanism and next steps for the WGRI with input from key stakeholders and meeting participants.

**Moderator:** **Thabi Maitin**, Co-chair WGRI

- **Luis Gabriel Cuervo**, Senior Advisor, Research for Health, AMRO/PAHO
- **John Reeder**, Director, TDR and WHO Research for Health Department

Open discussion – 30 minutes

15:55

9. Reports

Item time: 10 minutes each

- Additional research, writing, review, publication – **Martin Eigbike**, Consultant, WGRI
- Dissemination and communication planning – **Garry Aslanyan**, TDR Partnerships and Governance Manager | ESSENCE Secretariat

16:15

10. Final discussion

- **Peter Kilmarx** and **Thabi Maitin**, Co-chairs WGRI

16:25

11. Final remarks/Closing

- **Linda Kupfer** and **Hannah Akuffo**, Co-chairs ESSENCE

Adjourn at 16:30
Annex 2 – Poll Result

Suggested links:
- World Bank funding opportunities
  - Global Financing Facility for Health ("GFF") - globalfinancingfacility.org
- Primary Health Care Performance Initiative (PHCPI) - https://improvingphc.org
- Strengthening Mentoring in Low- and Middle-Income Countries to Advance Global Health Research: An Overview - http://www.ajtmh.org/content/journals/10.4269/ajtmh.18-0556