Expert Workshop on Comparative Analysis on National Research Systems UNESCO Forum on Higher Education Research and Knowledge Paris, 16-18 January 2008

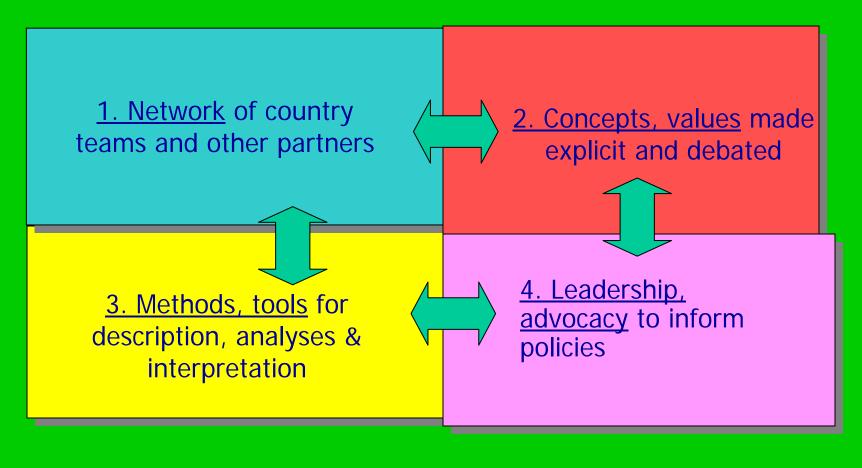
# Health Research Systems Analysis: toolkit for use in low and middle income countries

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#### Health Research Systems Analysis (HRSA)

description and analysis to inform national, regional & global research policies addressing health and equity



## 1. Network of country teams and other partners

Low- and middle-income countries:

Brazil, Cameroon, China, Costa Rica, Ghana, India, Indonesia, IR Iran, Kazakhstan, Laos, Malaysia, Mexico, Pakistan, Russian Federation, Senegal, Tanzania, Thailand

**High-income countries:** 

Australia, New Zealand, Switzerland, USA, Canada, UK



#### Cooperation and review with a range of partners

#### Participating national governments and institutions and their representatives

Abdrakhmanova, Shynar; Bte Abdul Hamid, Maimunah; Akanov, Aikan A.; Akhtar, Tasleem; Akkhavong, Kongsap; Antonyuk, Vladimir; Ash, Greg; Assasi, N; Baradaran Eftekhary, Monir; Barradas Barata, Rita; Biles, Megan; Boupha, Boungnong; Dejman, Masoumeh; Dobles, Alvaro; Falahat, Katayoun; Goldbaum, Moisés; Jacob, Suzanne; Khan, Mubashir; Khan, Rizwanullah; Kounnavong, Sengchanh; Leke Rose; Malek-Afzali, Hossein; Mbondji E, Peter-S.; Mohammad, Kazem; Najjari, A.; Ndossi, Godwin D.; de Noronha, José Carvalho; Okalla, Raphaël Thérèse; Ongolo-Zogo, Pierre; Pettigrew, Alan; Phoolcharoen, Wiput; Pramanpol, Somjai; Quesada, Shirley; Qureshi, Huma; Ruth, Telma; Saleh, Nordin; Santacruz, Javier; Scoggins, Bruce; Sidibe Awa; Sidibe, Mintou Fall; Sornpaisarn, Bundit; Suwandono, Agus; Szklo, Fernando; Tacsan Chen, Luis; Takougang, Innocent; Trisnowibowo, Hendrianto; Turdaliyeva, Botagoz; Yuning Prapti, Indah

- WHO research programmes, Regional Offices and participating Country Offices, Advisory Committee on Health Research
- Alliance for Health Policy and Systems Research
- Global Development Network
- Global Forum for Health Research
- Johns Hopkins Bloomberg School of Public Health, USA
- World Bank, Asian Development Bank
- McMaster University, Canada
- Council on Health Research for Development
- WHO Development Partners
- Many others participated in peer review of tools



<sup>\*</sup> The HRSA Network includes the following collaborators in Member States:

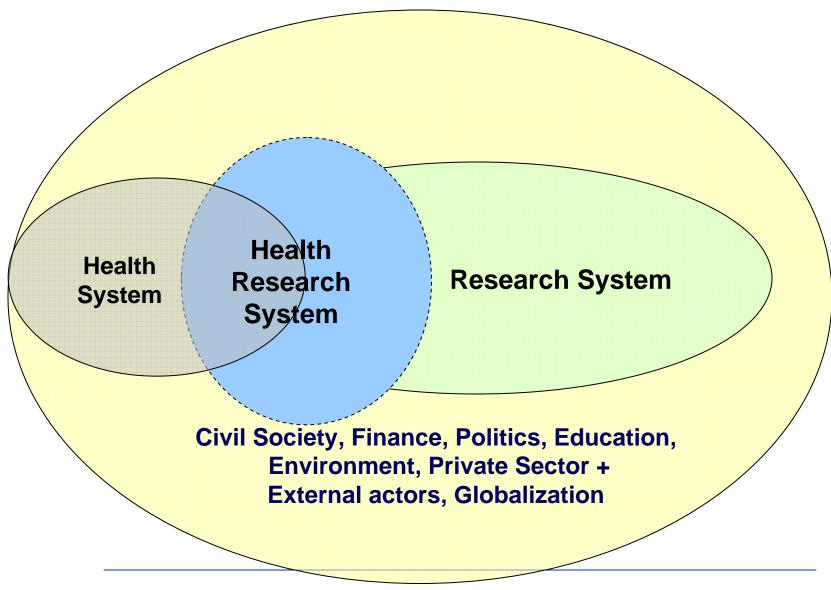
#### 2. Concept, values made explicit and debated

#### What makes up a system?

- Social Values
- Context
- People's needs
- Responsibility accountability
- Boundaries
- Goals
- Functions
- Policies, Inputs, Intermediary outputs



#### Situating national health research systems



## Health Research System Framework: describe, analyze and align functions to goals

**Functions Goals** 

#### **Stewardship**

leadership, policies, regulations

# Creating & Sustaining Resources

people, institutions & networks

## Producing & Using Research

range, relevance/excellence, dissemination, uptake

#### **Financing**

level, source, target,

sustainability, transparency

## Advancement of Knowledge

global pool, share learning

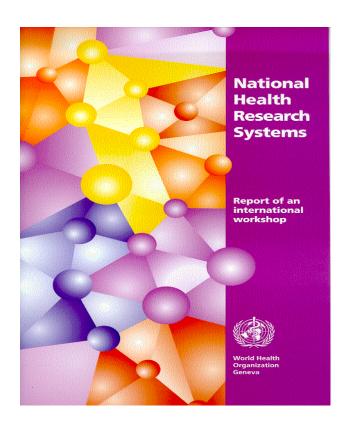
## Health & Health Equity

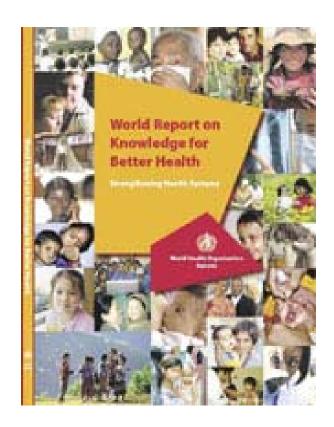
processes, outcomes, distribution



Source: WHO Bulletin, 2004

### Values, definitions, functions, goals, politics, preliminary analysis, areas for strengthening – end 1990s to present





Plus other publications, working papers, conference/seminars, workshops at national, regional, global level; WHO and several other partners

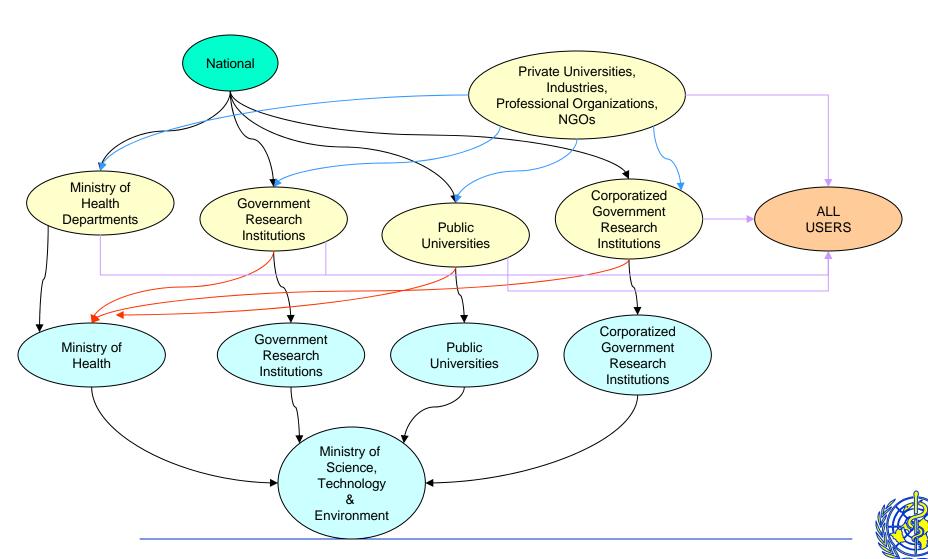


## 3. Methods, tools for description, analyses & interpretation

- national teams (steering and research groups)
- international classifications and existing indicators reviewed (UNESCO, RICYT, EC, OECD, WHO, +)
- "collective benchmarking" approach
- review existing case studies, methods, tools
- bottom-up development, aim for high standards of validity, reliability and multi-country use
- WHO multi-country project, data collected shared by national teams
- case studies narrate national perspectives and priorities



#### Key actors in Malaysian health research system



## Challenge (and opportunity): wide range of stakeholders in knowledge production and utilization on health

FUNDERS	PRODUCERS	EVALUATORS/MONITORS	USERS	
National	Government Research	Ministry of Health	Ministry of Health	
Ministry of Health	Institutions		Health service providers	
Other Ministries	Public Universities	Ministry of Science, Technology & Environment	(public and private)	
International	Private Universities	Universities	Ministries	
Pharmaceutical	Ministry of Health		Universities	
Companies.	Departments	International Agencies	International	
Industries	Industries	National Committee on Clinical	Pharmaceutical Companies	
Professional	Corporatized Government	Research		
Organizations	Research Institutions	Government Research	Companies	
NGOs	Dunfa ani ana di Outana di anta	Institutions	Researchers	
	Professional Organizations		NGOs	
General Public		Corporatized Government		
	NGOs	Research Institutions	Professional Organizations	
	Foreign Research	Foreign Research Institutions	Organizations	
	Institutions		General public	
	Private Medical	Private Medical Institutions	Media	
	Institutions	National Ethics Board	Industries	





#### **Indicators & Descriptive variables**

Main Function	Core indicators	Descriptive variables
Stewardship	A-C	1-20
Financing	D-F	21-24
Creating and Sustaining Resources	G-K	25-31
Producing and Utilizing Research	L-N	32-42
Total Number	14	42

individual experiences and views; national & institutional history, structures, policies; public dialogue; networks; counts of events, items, products, people, money, etc., with disaggregation



#### Benchmarking & interpretation framework

- What does this indicator tell us?
- Analysis of national level or performance across countries, over time
- Questions arising from the analysis of the indicator relevant to country, region, globally
- Comments on interpreting the indicator, in country, region, or globally
- Definition and sources



## What is most important to know and how to get this information (examples)

HRS Function	Example indicators to be described and analysed (non-exhaustive)	Range of Methods
Stewardship	A national policy on health research involving all key stakeholders?	Document reviews Focus group discussions
	Stakeholders' views defined and integrated within a national policy on health research	Key informant interviews Case studies
Stewardship	An Essential National Health Research approach?	Document reviews
	Factors considered in health research priority setting (e.g., national burden of disease, human resources, political will, community participation, etc.)	Key informant interviews Case studies
Stewardship	Do ethical review boards exist? Distribution: disciplines, geographic Review criteria, guidelines published Per cent of projects that pass	Document reviews Re-analysis of existing data Surveys Case studies
Stewardship	Existence of monitoring and evaluation activities clearly linked with strengthening Health Research System	Document reviews Key informant interviews Surveys



## What is most important to know and how to get this information (examples)

HRS Function	Example issues to be described and analysed (non-exhaustive)	Range of Methods
Creating and Sustaining Resources	Number of active health researchers Institutions, specialization, geography, core funding, specific research training	Document reviews Re-analysis of existing data Surveys Case studies
Producing and Using Research	Number of journals published  Quality / Peer review mechanisms  Magnitude of primary outputs	Document reviews Key informant interviews Re-analysis of existing data Surveys Case studies
HRS Function	Example issues to be described and analysed (non-exhaustive)	Range of Methods
Producing and Using Research	Mechanisms to review primary research outputs  Number of systematic reviews	Document reviews Focus group discussions Media Reviews Key informant interviews Re-analysis of existing data Case Studies
Producing and Using Research	Mechanism to patent research results  Number of patents attributed to health research results	Document reviews Key informant interviews Re-analysis of existing data Case Studies



## Proposing definitions for new indicators (example)

- C. Total health research proposals/projects/protocols (proposals) submitted for ethical review, expressed as:
  - Total number of health research proposals submitted for ethical review, for base year (and 5 year trend, e.g. 1997-2001)
  - Total number of health research proposals involving human subjects
  - Proportion of total health research proposals requiring ethical review (e.g., human subjects, genetics, stem cell, animal, etc.) according to criteria described in prevailing national guidelines or cited international guidelines
  - Proportion approved as is
  - Proportion approved with revision
  - Proportion rejected

[assumption: greater proportion of total health research proposals requiring ethical review, undergoing ethical review, is desirable for HRS to achieve goals]



#### **Existing Data Review – Excerpt from New Zealand Review**

Indicator, Variable	What is to be collected and where from	Base Year, 2001	Source of data	Format
National public (national govt + regional govt. + local authority) expenditures	Central Govt expenditure from Treasury, and local government (12 regional + City Councils) statistics from Statistics NZ.	Central Govt. Budget 2000 (year ending 2001) – Estimates of appropriations = (\$000) \$49,027,900. Local Govt. Expenditure: \$3445.5million	Treasury (Internet):  www.treasury.govt.nz/budgets/archive.asp2001 Statistics NZ (Internet):  www.stats.govt.nz/domino/external/web/prod_serv.nsf/htmldocs/Local+Authority+Statistics+-+Information+Releases	Electronic
National total research expenditures on all disciplines (1+2)		2002 + 2002/03 \$1255 million	(see below)	Electronic
National public research expenditures on all disciplines (1)	Govt. and University Expenditure on Research & Development in NZ. Science Envelope	2001/02 = \$717 million 2002/03 = \$731 million	Budget allocations for Vote Education, Vote RS&T, and Vote Health (percentage invested in research). Available: New Zealand Health Research: Putting Excellence into Practice. Report to the Ministry of Health from the Health Research Council of New Zealand. <a href="https://www.hrc.govt.nz/publicns.htm#Reports">www.hrc.govt.nz/publicns.htm#Reports</a>	Electronic
National private research expenditures on all disciplines (2)	Business Expenditure on Research & Development in NZ. Ministry of Research, Science and Technology	Years available: 1996; 1998; 2000; 2002 2002= \$524 million	Research and Development in New Zealand 2002. Statistics NZ (Internet):  www.stats.govt.nz	Electronic
National total health care expenditure (3 + 4)	Data on health care costs collected from the Ministry of Health	Data exists for 1925 – 2001. 2000/01 Total expenditure = \$9884 million	Ministry of Health, Health Expenditure Trends in New Zealand 1980 – 1999: <a href="https://www.moh.govt.nz">www.moh.govt.nz</a> Ministry of Health, Health Expenditure Trends in New Zealand 1990 – 2001: <a href="https://www.moh.govt.nz">www.moh.govt.nz</a>	Electronic
National public health care expenditure (3)	Data on health care costs collected from the Ministry of Health	Data exists for 1925 – 2001. 2000/01 Total expenditure = \$7584 million	Ministry of Health, Health Expenditure Trends in New Zealand 1980 – 1999: <a href="https://www.moh.govt.nz">www.moh.govt.nz</a> Ministry of Health, Health Expenditure Trends in New Zealand 1990 – 2001: <a href="https://www.moh.govt.nz">www.moh.govt.nz</a>	Electronic

## Fitting tools/data collection approach with desired indicator or variable - example

Annex 2: Tools developed to estimate Indicators & variables	Individual Survey	Institutional Survey	Media Review	Focus Group Discussions	Other Sources reviewed by analytical team
I. Stewardship Function: vision, priorities, ethics, mon	itoring				
INDICATORS*					
Rating of the degree to which the stewardship	Module	Module			
function within the national health research system is fulfilled	3000	2000, 7000		X	
Total public (government funds) allocated to explicit priority health research areas, expressed as proportion of total public health research expenditures		Module 3000			Analysis of module 3000 of institutional survey in light of stated national priorities, desk review
Total health research proposals submitted for ethical review expressed as proportion of total health research proposals requiring ethical review (e.g. human subjects, genetics, stem cell, animal, etc.) according to criteria described in prevailing national guidelines or cited international guidelines		Module 2000			National sources



Indicators & variables	Individual Survey	Institutional Survey	Media Review	Focus Group Discussions	Other Sources reviewed by analytical team
III. Creating & Sustaining Resources					
INDICATORS*					
Active health researchers expressed as:					
Total number (FTE), base year, per 100,000 overall workforce		Module 5000			National sources
Total number (FTE), base year, per 100,000 health sector workforce		Module 5000			National sources
Rating of the environment to nurture, conduct and	Q2100 -	Module 5000			
reward health researchers, expressed as self	Q2109	(elements of			
reported response categories converted to 0-100	(rating)	the		X	
scale		environment)			
Average wage of (i) newly graduated PhD/doctorate	Wage and	Module 5000			
entering health research system with full time	benefits	(wages etc)			
position and (ii) senior researcher with	asked in				
PhD/doctorate with at least 20 years of post-	Q5003,	Module 6000			
doctorate experience or senior researcher with	Q5004	(facilities)			
PhD/doctorate who is a director of a research					
institute/large research unit (expressed as average					
wage, base year in I\$)					
Trend in total public funds allocated to health		Module 3000			National sources
research, expressed as annual change from base year for subsequent years (1993-2001)					
Proportion of health research institutions with	Q4128-	Module 5000			
access to both national and international health	Q4130				
journals (print or electronic versions), during 1997-	(individual				
2001	access)				W/X

VARIABLES - Creating and sustaining resources – people, institutions, networks	Ind	Institution	
Total number of training programs on health research currently offered by the country according to:  type of program area covered		Module 5000	
Total number of graduates of different training programs with research components by year  Type of training level		Module 5000	
Existence of established national programs for academic post- doctoral research work		Module 5000	
<ul> <li>Total number of trained health researchers entering/leaving the country, expressed as</li> <li>Five years annually - broken down by Sex, Age groups, Area of Specialization</li> </ul>	Q1009 Q1010	Module 5000	
Proportion of graduates of degree training programs who were sent abroad for these advanced degree programs and who have returned to the country, annually		Module 5000	
Total number of active health researchers (FTE) - A. broken down by  • Sex  • Age groups  • Highest degree awarded (BS,  MA/MS, PhD/DS, MD, etc)  • Geographic location (regions in  the country, etc.)  • Area of specialization  • Public, Private sector		Module 5000	Market
How much time (as a percentage of FTE) is devoted to research activities?  Equity Analysis and Research, WHO, 18 January 2008	Q4200, Q4 20 1		

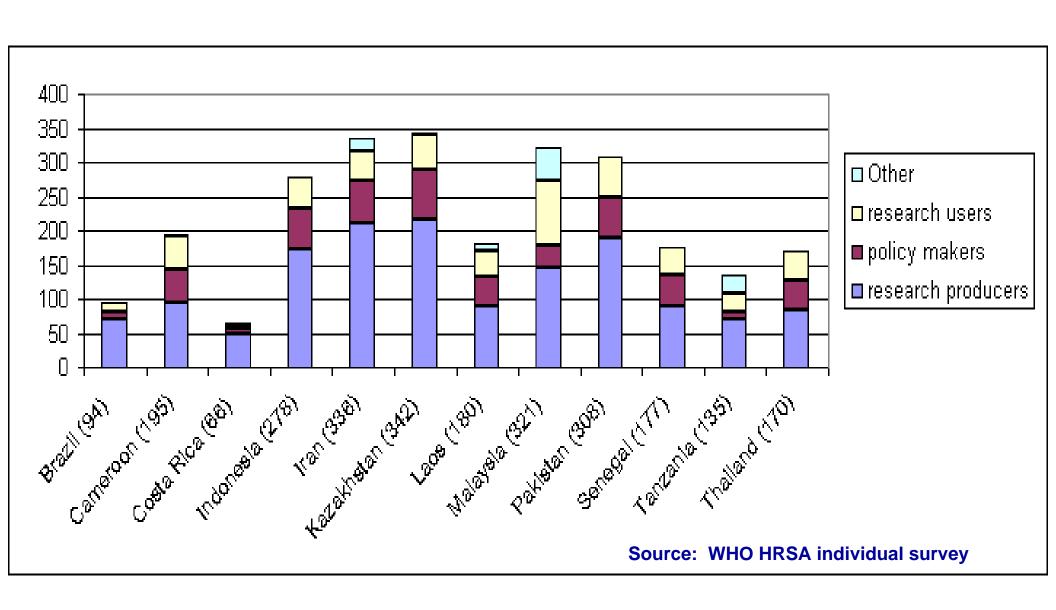
#### **Portfolio of tools**

Data	collection approach and modules for testing	Minimum sample size for pilot
1. Sui	rvey of individuals contributing to or using health research	Test: 200 - 500
1000 2000	Identification, introduction and basic background information Health research environment	Retest reliability: min. 100  Individual experiences
3000 4000 5000	Health research system: priorities, functions and collaborations Health research production and utilization Additional background information and evaluation	and views
2. Sui 1000 2000 3000 4000 5000 6000 7000	Identification, introduction and background information Types and approaches to research Financial resources for health research Health research outputs, synthesis, dissemination and knowledge management Human resources, capacity and development for research Institutional facilities and field sites Research ethics and ethical processes	Test: 100 - 200 Retest reliability: min. 100  Institutional governance, policy, strengths, challenges
Pro ori	dia review protocol ospective 2 month review of major newspapers covering different ientations or readership ealth and health research articles compared to total newspaper content pe of article, size, photos/figures	Test: 3 national/major newspapers over 2 month period Inter-rater reliability: 2 weeks for each newspaper Public dialogue

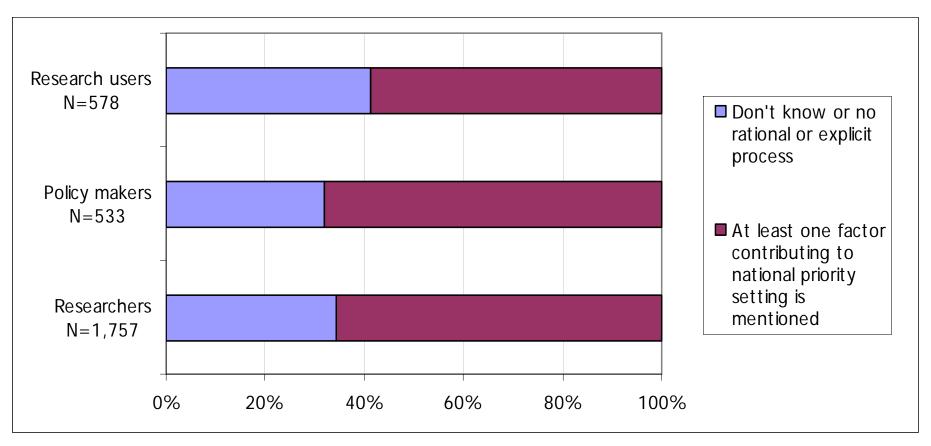
#### **Portfolio of tools**

Data collection approach and modules for testing	Minimum sample size for pilot
Key informant and/or focus group discussions     Social discourses on key health research system topics     Topics related to policy/relevance of research results, production of research and public perception of health research     Social discourse	Min. 10 homogeneous group discussions stratified by age, education, sex & type of activities and geographic location, as determined by country team
<ul> <li>Integrated analyses of data from a variety of sources, compared and contrasted and reflected upon</li> <li>Identify potential policy options or recommendations: focusing on the aims:         <ul> <li>To strengthen different components of health research systems, in particular national human and institutional capacities</li> <li>to integrate changes implied by research results in the day to day activities of health providers who have a range of responsibilities and skills within the health sector</li> <li>to increase national contributions to regional and global policy making</li> </ul> </li> </ul>	combining indicators, variables, narratives addressing national themes as inputs to stakeholder discussions, reflections
<ul> <li>Mapping of actors (funders, producers and users) of health research</li> <li>Process including ethics review, strategies to apply results</li> <li>Document review (legislation, policies, grey literature, etc.)</li> <li>Data review (databases on various components)</li> </ul>	Test: process of engaging key actors from various sectors and stakeholders within health research system in each country  Desk review, inventory prior to new data collection

#### **Individual Survey development**

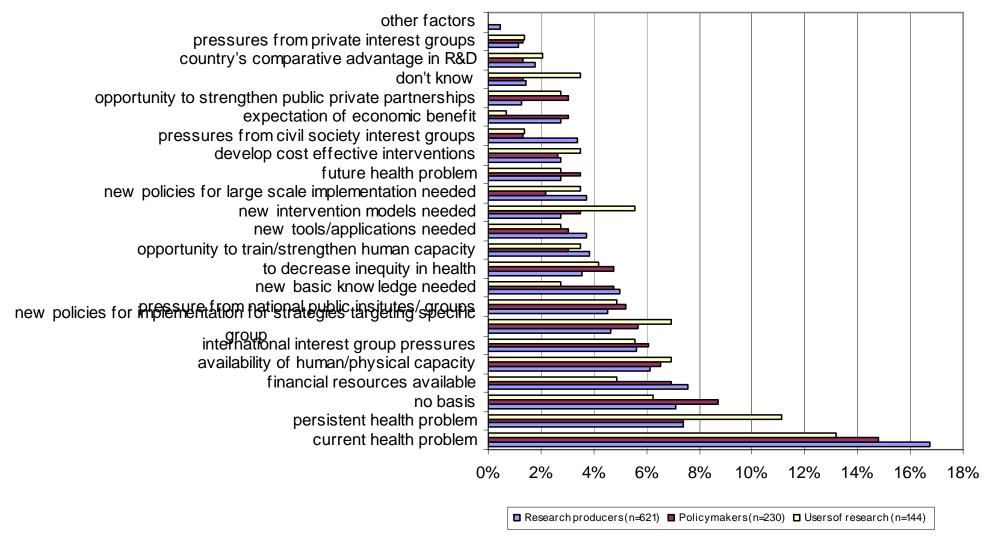


## About one-third report no current basis to identify or set priorities for national health research, similar across countries and individual roles





#### What is the current basis for priority setting in health research?





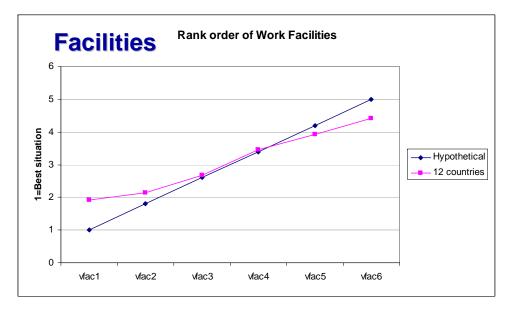
### Is it feasible to measure what it is intended to measure in a comparable way?

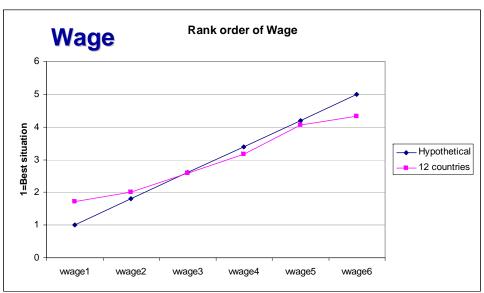
#### **Example: Enabling Environment to conduct research**

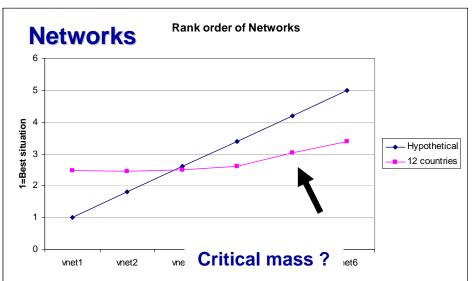
- Range and breadth of health researcher networks
- Transparency of the funding process
- Quality of the work space and facilities
- Encouragement of collaboration
- Opportunities to present, discuss, and publish results
- Relevance of health research activities to health problems and health systems
- Salary and benefits of health researchers
- Nurturing of careers
- Training and ongoing training
- Access and sharing of information

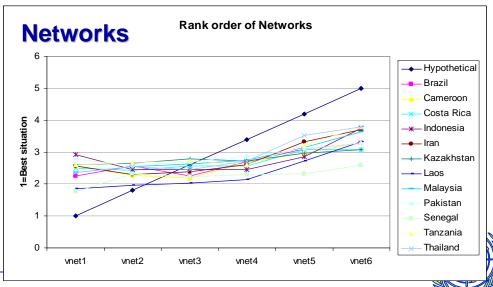


### Can methods take into account different norms and expectations across and within countries?









**Equity Analysis and Research, WHO, 18 January 2008** 

Source: WHO HRSA individual survey

#### Challenge: limited collaboration among stakeholders

Academic or research institutes, university hospitals	60%
National ministry of health	51%
Hospitals (non-university)	36%
Professional organizations (e.g. medical, nursing,	
etc.)	34%
Medical or health research councils	33%
Sub-national, state or district level health-decision	
makers	31%
Primary or secondary care facilities	31%
Non-governmental organizations	29%
Other national ministries	28%
National offices of international organizations (WB,	
WHO)	28%

Source: WHO HRSA Individual Survey, 13 countries, n= 2868 individuals



#### Challenge: limited collaboration among stakeholders

Pharmaceutical or medical equipment/supply	
companies	26%
Patient or consumer groups	25%
Biomedical based health care providers (individuals)	25%
Mass media (newspapers, radio, television, etc.)	24%
National technical or regulatory agencies	20%
National offices of bilaterals, foreign foundations	18%
Traditional, indigenous or alternative health care	4=04
providers (individuals)	17%
Religious leaders or institutions	12%
Special interest groups, ethnicity, geographic origin,	
gender, etc.	12%
National legislative bodies	11%
Military or para-military organizations (i.e. non-	
civilian)	7%

Source: WHO HRSA Individual Survey, 13 countries, n= 2868 individuals



#### Range of Research Outputs

(individual survey, pooled data, all countries)

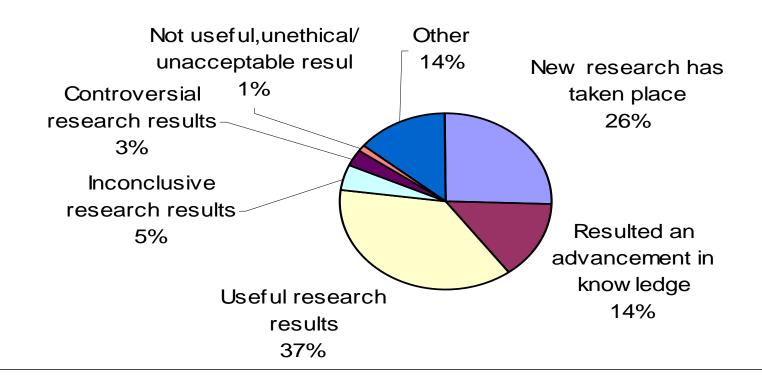
- Scientific journals national/regional (20%), "international" (10%)
- Conference/workshops presentations (26%)
- Policy reports and media/press briefs (20%)
- Books, chapters, working papers (24%)
- + Patents, about 10% interviewed at least one

Source: WHO HRSA Individual Survey, 13 countries, n= 2868 individuals



### Opportunity: increasing competencies of media to communicate health research

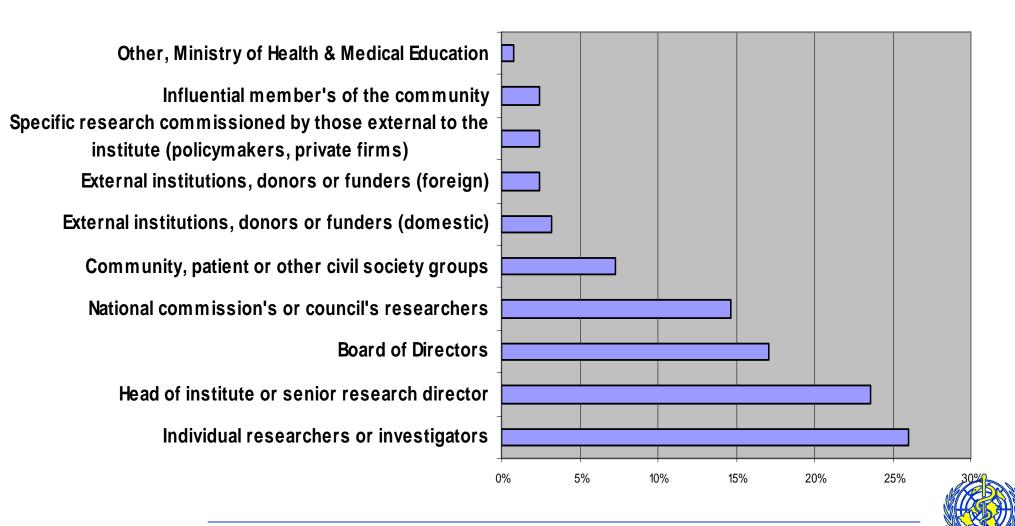
### Key messages from articles addressing health research, newspaper review in 13 countries (1,978 articles)





#### Institutional survey, IR Iran

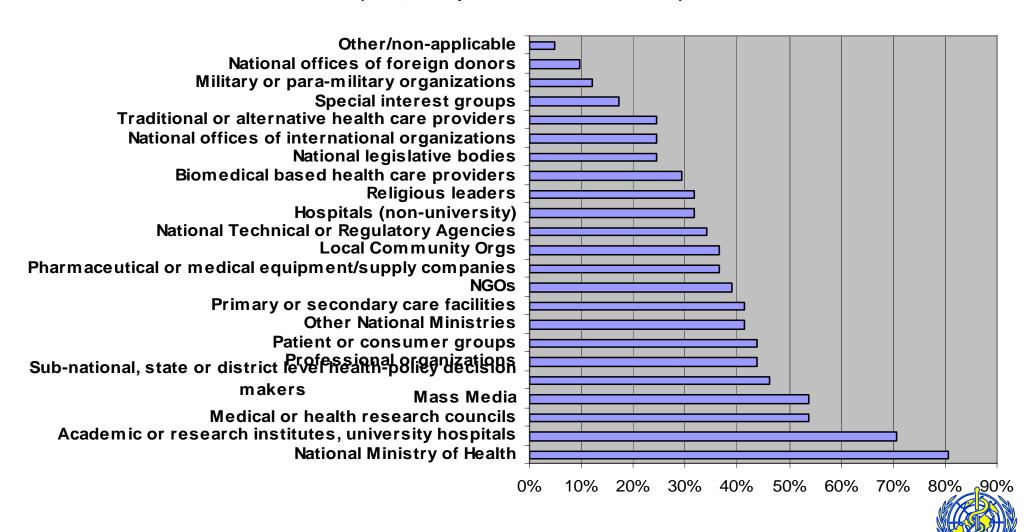
Which groups are most influential in priority setting? (n=41)



**Source: WHO HRSA institutional survey** 

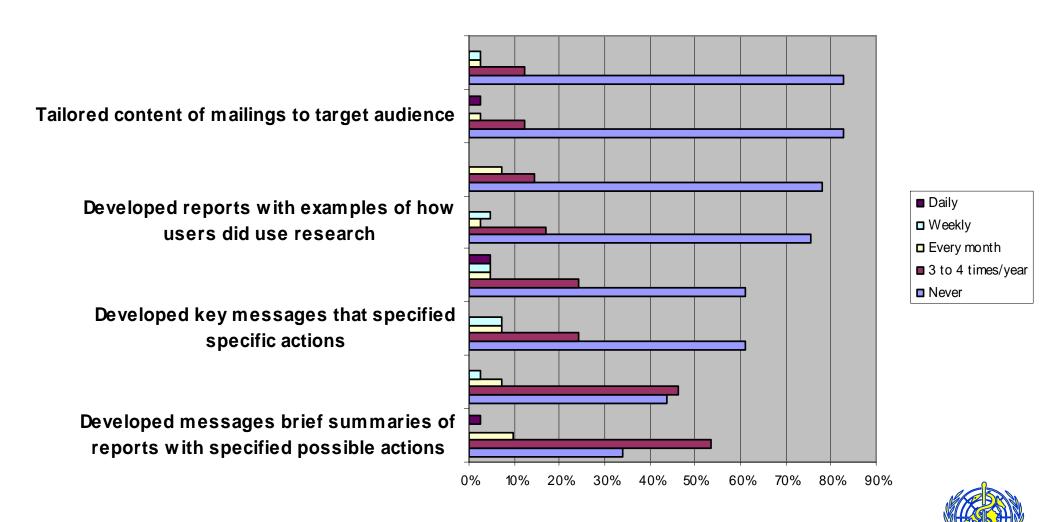
#### Institutional survey, IR Iran

Who is the target audience of your research? (n=41, multiple choices were allowed)



#### Institutional survey, IR Iran

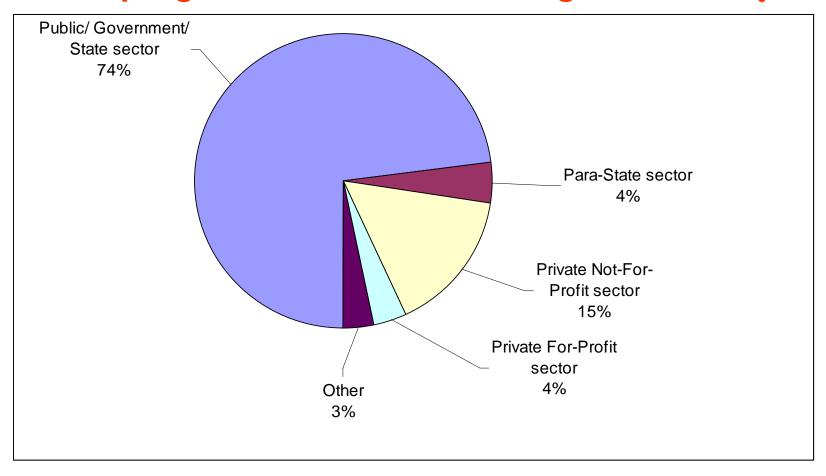
How often has your institution done any of the following to engage your target audience? (n=41)



#### Sector of institutions surveyed in Africa,

(about 800 institutions in almost 40 countries

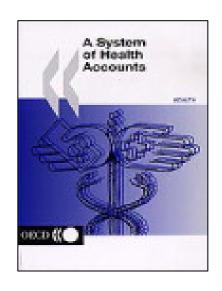
- in progress - WHO African Regional Office)



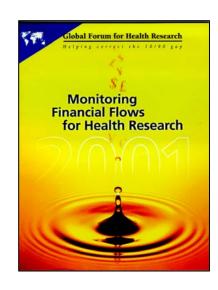


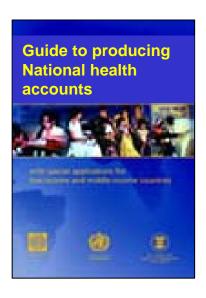
Equity Analysis and Research, WHO, 18 January 2008 Source: WHO AFRO Survey, 2008

### Developing tools to institutionalize monitoring and analysis – example financial flows & topics

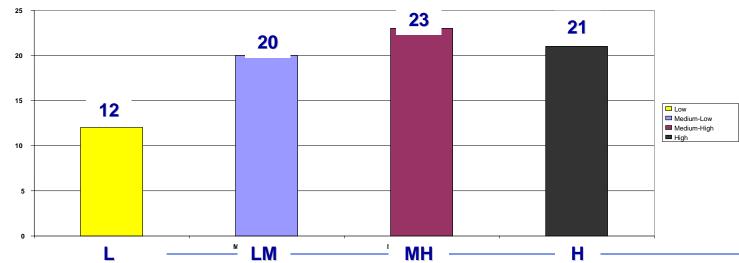








Countries (of 193) reporting health research estimate in NHA (L,ML, MH, H)



Forthcoming
2008: National
Health
Accounts subaccount guide
on health
research

Equity Analysis and Research, WHO, 18 January 2008

#### Narratives – mini case studies' themes - examples

#### Costa Rica

- How to better engage policy makers to demand research on specific health systems' topics
- How to coordinate research priorities to be more in line with public health priorities and its essential functions

#### Kazakhstan

- Interactions between policy makers, researchers, and users of research
- Coordinating research relevant to health priorities

#### Senegal

- Transparency of the management of research funds
- Coordination of priorities and activities

#### **Thailand**

- How to strengthen research institutes
- How to develop thematic research management processes



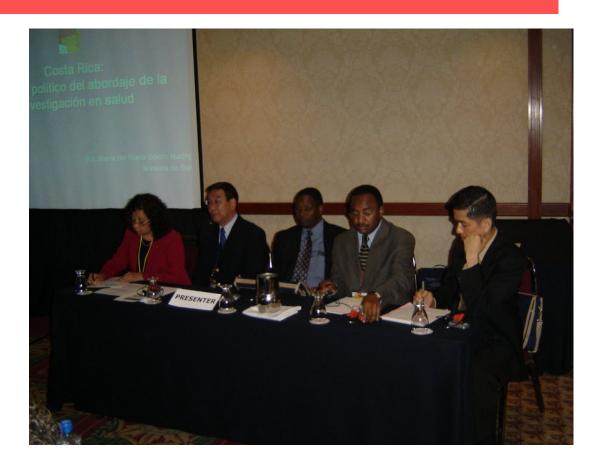
#### **Recent Evolution of NHRS in Lao PDR**

	1
Build buildings - Council of Medical Sciences est. 1990	1992- 1996
Build on existing capacity, develop stewardship  - National Institute of Public Health est. 1999  -Training on research methods to health professionals embedded within facilities  -Training of trainers, add research to curriculum of universities	1997- 2001
Add and develop new competencies  -Ethics review committee est. 2002  -Management of research, utilization of research  -Increase range of research outputs & audiences  -Pursue regional integration (Cambodia, Vietnam)	2002-2006
Add more functions and improve health systems  -Exert more leadership to coordinate NGO activities across provinces reflecting national priorities  -Extend regional integration (Thailand, Japan)  -MDG agenda on maternal and child mortality: evaluate	2007-2010
wide range of interventions and see what works  Equity Analysis and Research, WHO, 18 January 2008	

#### 4. Leadership & Advocacy

#### Ministers propose that good leadership requires . . .

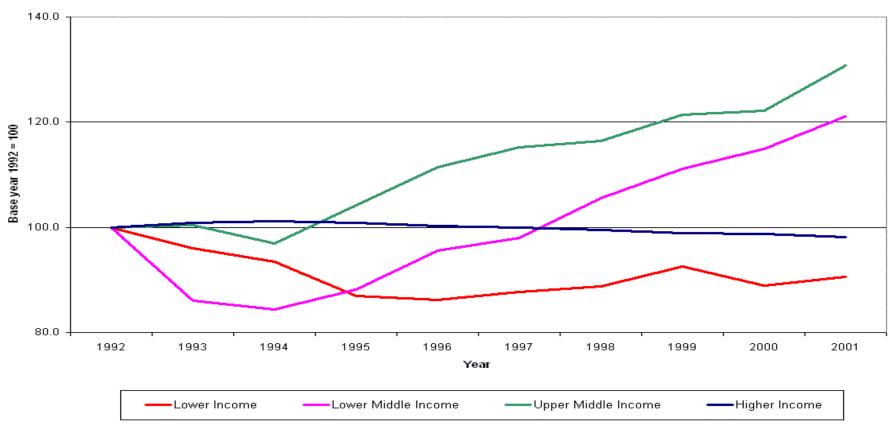
- Having a vision for health research
- Understanding the organization of national health research
- Knowing the major health challenges
- Setting and coordinating health research priorities
- Working with other partners
- Developing and enforcing ethical standards for health research
- Increasing accountability in the use of public funds
- Knowing how research is distributed and accessed
- Monitoring and evaluating health research



Ministerial Summit on Health Research,

2004, Mexico City

## Challenge: decreasing low income countries' share of worldwide, easily accessible research on health topics



Source: SSCI & SCI reference databases, 1992-2001

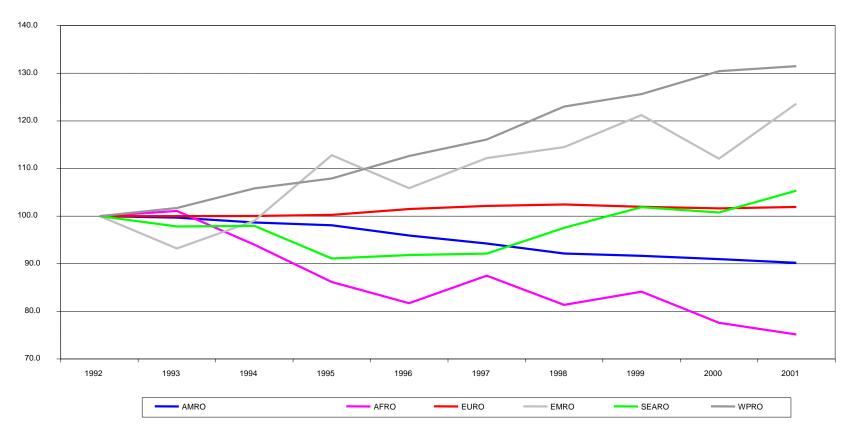
Paraje et al., Science, 2005

**Equity Analysis and Research, WHO, 18 January 2008** 



# Challenge: heterogeneous growth across geographic regions in share of worldwide, easily accessible research on health topics

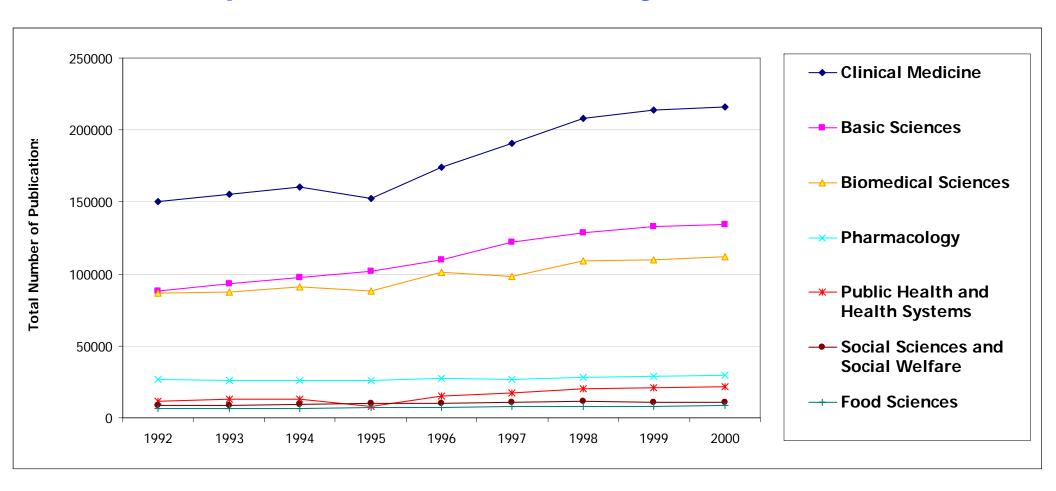
Scientific Production in the WHO regions (1992 =100)



Source: SSCI & SCI reference databases, 1992-2001



## Challenge: limited research on public health and health systems

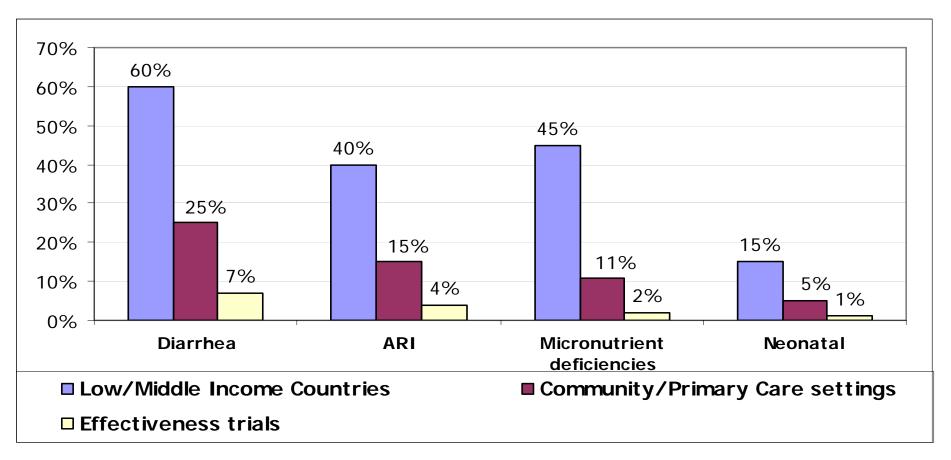




Knowledge for Better Health, WHO, 2004 Equity Analysis and Research, WHO, 18 January 2008



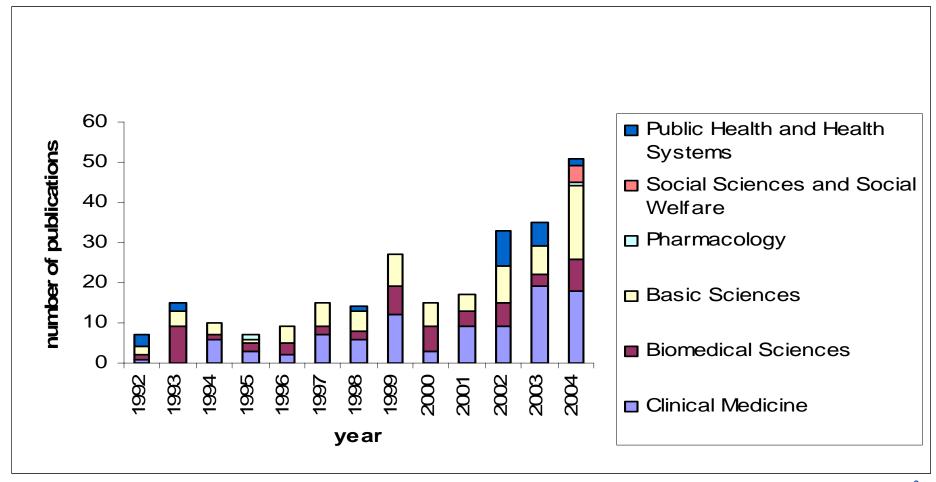
## Challenge: limited origin, focus & types of studies included within meta-analyses of research findings on child health



Source: Bhutta et al., 2004 (review of Cochrane Reviews on child health)



### Challenge: limited collaboration across big, important countries (Brazil, India, South Africa)\* on health research



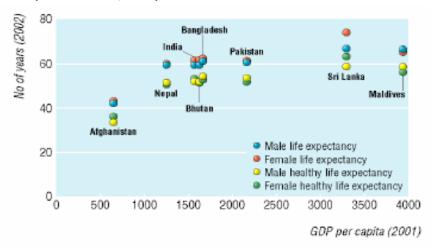
Source: SSCI, SCI databases

\* paper with at least 1 co-author in each of the three countries

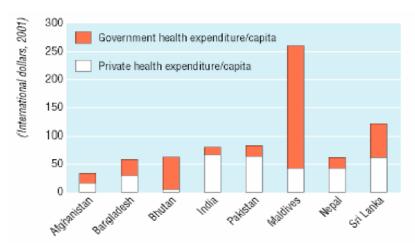


## Regional analyses – connect research, health systems & intersectoral actions – example South Asia

Life expectancy and healthy life expectancy vs. GDP per capita (Source: WHO, 2003)



Total health expenditures per capita International Dollars, 2001 (Source: WHO, 2003)



National Medical or Health Research Coordination Body		
Country	Entity	Year Established
Bangladesh	Bangladesh Medical Research Council	1972
Bhutan	Health Research and Epidemiology Unit, Ministry of Health and Education	1995
India	Indian Council for Medical Research	1911
Pakistan	Pakistan Medical Research Council	1962
Maldives	Health Information and Research Unit, Ministry of Health	1998
Nepal	Nepal Health Research Council	1991
Sri Lanka	National Health Research Council	1996

Source: British Medical Journal, 2004

## Emerging generic messages for different audiences

- Civil society, patient-, community-based organizations
   Demand transparency, innovation and relevance
- International and regional development partners
   Support institutions and program areas for the long-term, commit to relevance, ethical partnerships, and innovation
- Policy and decision makers
   Ensure coordination of priorities & increasing evidence-informed decisions, collaboration within and across countries, connection to application and innovation
- Institution boards and directors
   Set example by working towards mission, and ensuring transparency, safety, scientific & ethical practices, and merit based career development of all staff and collaborators
- Researchers
  - Engage, mentor and collaborate within your institution, with other disciplines, and with those in other countries; be honest maintain independence from funders and keep up to date

### Thank you!

