The INDEPTH Network: Preparing for the Future

BUSINESS PLAN

Board meeting
Accra

February 5, 2008
INDEPTH has significant potential that can be unlocked through consolidation of current gains and targeted growth of activities and functions

INDEPTH has grown quite successful across key metrics
• Number, reach of Network has grown as well as the amount and diversity of funding
• DSS sites have diverse specialties, talent and capabilities
• Distinct global profile is attractive to sites, partners and funders

Increasingly global recognition of the value of global data sets that are timely, accurate and reliable, a space that INDEPTH that occupy a unique and strategic position

With a new Executive Director, Board and SAC, as well as a recently established flagship project (MCTA), INDEPTH is at a point of institutional transition that creates an opportunity to consolidate gains and set new direction for longer term impact and sustainability.

To achieve this, it is recommended that INDEPTH set the following priorities:
• Prioritize cross-site activity and output by committing to key strategic approaches
• Be outcome oriented by setting output targets, developing work plans & continuously evaluating progress across the entire network.
• Refine and clarify roles, responsibilities and decision-making processes for all organs of the governance structure, strengthening where appropriate.
• Formalize outreach to public institutions, for funding as well as influencing policy
4 key questions that need to be answered

1. What should INDEPTH’s business be given current challenges?

2. How does INDEPTH need to be organized going ahead?

3. How can INDEPTH finance its operations in a sustainable fashion?

4. How can INDEPTH manage through this transition?
What should INDEPTH’s core business be in light of current challenges?

**Current Picture**

- INDEPTH has strong potential to influence the global public health agenda, yet it is not fully realized
- Clustering of coverage achieved for West and East Africa; gaps exist elsewhere
- DSS sites are engaged in studies across the spectrum of types: 1) Defining health issues, 2) Developing interventions, 3) Monitoring intervention effectiveness when deployed
- Move to more holistic interventions e.g., health systems

**Proposed Recommendations**

- Set minimum standards for membership, including data pooling and commitment to Network
- Be a link between scientific outputs and policy changes at local and global levels
- Enhance geographical coverage in Asia and potentially Latin America
- Focus on leading public health concerns in covered areas e.g., HIV/AIDS, Malaria, TB, rapid progressing fevers, NCDs
- Extend capability across three types for full complement
- Monetize existing data & processes (e.g., life-tables potential for actuarial tables, data gathering and processing capability)

**Refine INDEPTH’s value proposition**

- Review global trends for new opportunities to pursue

**Survey external stakeholders**

- External stakeholders look to INDEPTH to:
  - Generate cross-site data and publications
  - Provide unified platform that spans multiple locations

- Strengthen cross-site collaboration to optimize the network’s capabilities in terms of expertise as well as being research platforms
- Focus activities towards measurable output
- Make policy change a key goal
4 key questions that need to be answered

1. What should INDEPTH’s business be given current challenges?

2. How does INDEPTH need to be organized going ahead?
   - Review organization structures and their roles
     - Board
     - SAC
     - WG
   - Develop membership criteria
   - Execute cross-site strengthening activities

3. How can INDEPTH finance its operations in a sustainable fashion?

4. How can INDEPTH manage through this transition?
Roles and responsibilities between the key operational bodies need to be clearly defined

### Current situation

- Distinct roles of governing and working structures of the Network organs (Board, SAC, WG, Secretariat, AGM) not clearly understood by all
- Need for diverse perspectives, skill-sets and access to global networks
- Specific organs (e.g., Secretariat) require strengthening to deliver the needs of the larger organization

### Opportunities

- Refine and focus existing INDEPTH organs to produce measurable predefined outcomes e.g.,
  - Working Groups and SAC drive research with limited support from Secretariat and/or Board
  - Working Groups have clear work plans and outputs to prior to receiving funding for operations
- Tier INDEPTH membership structure to encourage data and expertise sharing
- Link research to policy changes, unlocking public financing as well as grow INDEPTH’s global brand
- Apply best practices of board management e.g., training, fill skill gaps, provide diverse perspectives, serve as entry points to influential groups and industries
- Fill key skills gaps currently within the Secretariat
- Develop an online Knowledge Management portal to strengthen the Network
Scientific research and publication is the realm of 1) SAC, 2) Working Groups and 3) Sites…

<table>
<thead>
<tr>
<th>Research Area</th>
<th>Site</th>
<th>WG</th>
<th>SAC*</th>
<th>Board</th>
<th>Secretariat**</th>
</tr>
</thead>
<tbody>
<tr>
<td>Define and recommend priority thematic areas to study</td>
<td>S</td>
<td>S</td>
<td>P</td>
<td>T</td>
<td>T</td>
</tr>
<tr>
<td>Identify cross-site questions to study</td>
<td>S</td>
<td>P</td>
<td>S</td>
<td>T</td>
<td>T</td>
</tr>
<tr>
<td>Write proposal for funding</td>
<td>S</td>
<td>P</td>
<td>S</td>
<td>T</td>
<td>T</td>
</tr>
<tr>
<td>Gather, enter and clean data</td>
<td>P</td>
<td>S</td>
<td>T</td>
<td>N/A</td>
<td>T</td>
</tr>
<tr>
<td>Pool and analyse data</td>
<td>S</td>
<td>P</td>
<td>T</td>
<td>N/A</td>
<td>T</td>
</tr>
<tr>
<td>Publish results</td>
<td>S</td>
<td>P</td>
<td>S</td>
<td>T</td>
<td>T</td>
</tr>
</tbody>
</table>

- Scientists who are primary members of sites, WGs and SAC should drive the science and the research
- Role for Board and Secretariat should be limited in direct research
  - Reduces potential conflict of interest for board members who are also site leaders

* SAC proposes to the Board which ratifies
** Secretariat can opportunistically lead some of the work especially in reaction to requests from interested entities e.g., funders
1) The SAC recommends the overall scientific agenda for the Network…

<table>
<thead>
<tr>
<th>Purpose</th>
<th>Objectives</th>
<th>Activities</th>
</tr>
</thead>
<tbody>
<tr>
<td>Offer the Network (via the Board and the Secretariat) expert <strong>scientific</strong> view on the vision, strategy and operational activities of the organization.</td>
<td>• Provide scientific direction to the Network&lt;br&gt;• Identify the optimal foci in health, population and social issues which best support the strategic intent of INDEPTH&lt;br&gt;• Provide expert input to sites and WGs research and publications&lt;br&gt;• Serve as <strong>champions</strong> for the Network in the global health and population communities</td>
<td>• Propose pressing scientific questions to be addressed by Network&lt;br&gt;• Guide prioritization of WG based on set criteria&lt;br&gt;• Review internal grant requests and make recommendations to Board&lt;br&gt;• Continually advise, mentor, monitor &amp; evaluate WGs&lt;br&gt;• Facilitate scientific capacity strengthening workshops&lt;br&gt;• Actively seek opportunities to raise Network’s profile in scientific health and population communities</td>
</tr>
</tbody>
</table>

**Qualifications**

- Internationally recognized expertise in population and health sciences
- Experience in translating scientific methodology to the developing world context e.g., ensure adherence to ethical standards
- Exposure and access to research funding networks
- Board perspective from across NGOs, academic institutions, pharmaceutical and clinical research organizations, etc.

Source: Interviews with SAC and Board members at AGM Conference September 3-7th
by applying three general criteria to prioritize WG opportunities

- Measurable Impact
  - Does the WG address priority questions as outlined by the SAC?
  - What are expected outputs (e.g., publications, data sets etc) from the WG?
  - Would the WG enhance Network activity by enhancing collaboration amongst sites that typically do not work together?
  - Does the WG have the potential to raise INDEPTH’s global image?
- Site Demands
  - How many Sites would participate in the WG?
  - Would member sites have the capacity and capability to drive the WG?
- Sustainability
  - How much staff time / effort / costs would be required to fulfill this Working Group?
  - How does the measured outcome weigh with the costs?
2) Working Groups then translate SAC recommendations to activities for member DSS sites

Current picture

- Numerous working groups across thematic areas and at different scales of impact
- Working groups not on the hook for particular outputs

Proposed changes

- Working Groups activity become aligned with identified thematic areas
- Specific results expected from working group in a defined timeline e.g.,
  - Each working group generate one funded proposal per year
  - Relevant data from WG members pooled and analyzed every quarter
  - One article submitted for publication in a major journal
Each Working Group submits a workplan that shows how targets will be achieved throughout the process.

**High Level Working Group Process**

- **Form Working Group**
- **Write funding proposals**
- **Generate data sets**
- **Publish research**
- **Influence policy**

**Monitor & Evaluate**

**Target Outputs**

- List of members
- Timeline
- Funding requirements
- Accepted funding proposal(s) covering PI & Secretariat costs
- Reliable, timely, accurate and sharable data sets
- Published articles in internationally recognized journals
- Policy briefs
- News articles
- Public sector champion
- Changed policy

The work plan be vetted by SAC before funding is committed by board and disbursed by the Secretariat.

Source: Interviews during INDEPTH AGM Conference 2007 September 3-7th
3) Two tiers of DSS site membership should be executed, given primacy to data and expertise sharing to strengthen the Network

<table>
<thead>
<tr>
<th>Requirements</th>
<th>Benefits</th>
</tr>
</thead>
<tbody>
<tr>
<td>Full INDEPTH Members</td>
<td>Associate INDEPTH Members</td>
</tr>
<tr>
<td>• Sharing and pooling of core data (specific elements TBD)</td>
<td>• Pay annual subscription fee</td>
</tr>
<tr>
<td>• Leverage own expertise, capacity and capability to strengthen INDEPTH members</td>
<td>• Commitment to supporting Network’s growth including capacity, expertise and data sharing where possible</td>
</tr>
<tr>
<td>• Commitment to supporting Network’s growth</td>
<td>• If a DSS site, active movement towards becoming a full member</td>
</tr>
<tr>
<td>• Acknowledge INDEPTH contribution to own work</td>
<td>• Acknowledge INDEPTH contribution to own work</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Benefits</th>
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</thead>
<tbody>
<tr>
<td>• Priority in scientific and capacity building activities (including management capacity building)</td>
</tr>
<tr>
<td>• Can anchor a Working Group</td>
</tr>
<tr>
<td>• Subsidized (full or partial) AGM attendance</td>
</tr>
<tr>
<td>• Have voting rights at AGM</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Benefits</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Participate in scientific and capacity building activities if space allows</td>
</tr>
<tr>
<td>• Participate in a Working Group but there has to be at least on full member in each WG to anchor it</td>
</tr>
<tr>
<td>• Attend AGM but at own cost/only partly subsidized</td>
</tr>
</tbody>
</table>
All should contribute in translating research findings into policy changes at the various levels, with the Secretariat playing a facilitating role.

### Weighted Responsibility

<table>
<thead>
<tr>
<th>Policy Linkage</th>
<th>Site</th>
<th>WG</th>
<th>SAC</th>
<th>Board</th>
<th>Secretariat</th>
</tr>
</thead>
<tbody>
<tr>
<td>Link research output with policy change at a local level</td>
<td>P</td>
<td>P</td>
<td>S</td>
<td>T</td>
<td>S</td>
</tr>
<tr>
<td>Link research output with regional/cross-country policy changes</td>
<td>S</td>
<td>P</td>
<td>S</td>
<td>S</td>
<td>S</td>
</tr>
<tr>
<td>Link research output with global policy changes</td>
<td>T</td>
<td>S</td>
<td>S</td>
<td>P</td>
<td>P</td>
</tr>
</tbody>
</table>

- **Primary actor (P)**
- **Secondary actor (S)**
- **Tertiary actor (T)**
- **Not applicable (N/A)**

- Policy work can unlock new public financing, key in maintaining 501 (c)3 status.
- Significant opportunity to grow INDEPTH’s profile globally.
- Policy changes promoted by sites in local context should not just be limited to the research they do, but also include research done by broader Network.
Governance is the primary responsibility of the Board with the Secretariat as its executing arm

<table>
<thead>
<tr>
<th>Governance</th>
<th>Site</th>
<th>WG</th>
<th>SAC</th>
<th>Board</th>
<th>Secretariat</th>
</tr>
</thead>
<tbody>
<tr>
<td>Provide direction to Secretariat activity</td>
<td>T</td>
<td>T</td>
<td>S</td>
<td>P</td>
<td>N/A</td>
</tr>
<tr>
<td>Access new network funding and partners</td>
<td>T</td>
<td>T</td>
<td>S</td>
<td>P</td>
<td>P</td>
</tr>
<tr>
<td>Provide political visibility and connections</td>
<td>T</td>
<td>T</td>
<td>S</td>
<td>P</td>
<td>S</td>
</tr>
<tr>
<td>Ensure Network compliance w/ regulations (e.g., tax exemption status)</td>
<td>T</td>
<td>T</td>
<td>S</td>
<td>P</td>
<td>P</td>
</tr>
<tr>
<td>Ensure network compliance with funder requirements (e.g., prompt reporting)</td>
<td>T</td>
<td>S</td>
<td>S</td>
<td>P</td>
<td>P</td>
</tr>
</tbody>
</table>

- Ultimate decision making lies with Sites but it's not their day-to-day function
- Board membership should be expanded to bring in new members, skills and networks e.g., law, tax, industry, foundations, public sector players, political credibility, strategy
The Secretariat has additional tasks it must drive to execution

<table>
<thead>
<tr>
<th>Coordinating/Enhancing Profile</th>
<th>Site</th>
<th>WG</th>
<th>SAC</th>
<th>Board</th>
<th>Secretariat</th>
</tr>
</thead>
<tbody>
<tr>
<td>Facilitate data pooling across entire network</td>
<td>T</td>
<td>S</td>
<td>S</td>
<td>S</td>
<td>P</td>
</tr>
<tr>
<td>INDEPTH brand-building</td>
<td>T</td>
<td>S</td>
<td>S</td>
<td>P</td>
<td>N/A</td>
</tr>
<tr>
<td>Capacity building for better science and management</td>
<td>T</td>
<td>S</td>
<td>S</td>
<td>P</td>
<td>P</td>
</tr>
<tr>
<td>Facilitate better/easier communication between sites</td>
<td>T</td>
<td>S</td>
<td>S</td>
<td>P</td>
<td>P</td>
</tr>
</tbody>
</table>

- Secretariat staffing needs to be updated to reflect these tasks
- Developing an online Knowledge Management Portal would strengthen cross-net work activity and sharing, particularly of existing expertise as well as information sharing
Create 5 Divisions at the Secretariat to deliver on new challenges

**PROPOSAL**

**Executive Director**

- **Scientific Coordination**
  - Provide scientific grounding to INDEPTH’s work
  - Hub site/WG strengthening capacity
  - Coordinate exploration of new scientific areas that INDEPTH can be involved in (e.g., coordinate a Fellows Program)

- **Financial Management**
  - Grant management for network funded projects e.g., MCTA and internal Secretariat financing
  - Large scale procurement for projects where needed

- **Information Technology**
  - Support sites and secretariat in critical IT related issues e.g., Data management
  - Create tools that strengthen internal INDEPTH communication (e.g., create and manage knowledge portal)

- **Communications and External Relations**
  - Responsible for building and maintaining INDEPTH’s brand globally e.g.,
    - Translate major scientific findings to policy recommendations
    - Support sites/WGs in doing so at their local level
  - Manage relationships with funders and partners (ensuring prompt reporting cycles)

- **HR & Administrative Coordination**
  - Internal management of Secretariat operations e.g.,
    - Finances
    - Secretariat office admin
  - Logistics support for projects (e.g., travel, workshops)

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Dalberg
In summary

**Board**
- Provide overall **strategic guidance and accountability** to INDEPTH
- Open doors to key constituents:
  - Financial resources
  - Political influence
  - Skills beyond science (tax, law etc)
- Enhance global visibility of INDEPTH

**SAC**
- Provide overall **scientific guidance and mentoring** to WGs and sites
- Open doors to key constituents especially those that drive content

**Working Groups**
- Focused **hubs of specific research**
  - Establish agenda and work plan for WG members
  - Coordinate and ensure delivery of results from members
  - Drive capacity enhancing activity for members where necessary

**Secretariat**
- Overall **coordination of INDEPTH activities and financial management**
  - Executing arm of board
  - Enhancing global profile

**Organizational changes needed**
- Expand board to include other constituents e.g.,
  - Tax/law specialist (US?)
  - Strategic management advisor
  - Industry players
  - Public sector funders
- SAC training on roles, responsibilities
- Tools to set standards and evaluate scientific work
- Rationalize WGs
- Require work plans and specific deliverables from each WG to receive funding/support
- New communications/external relations manager to drive science-to-policy linkage
- Strong financial management capacity
4 key questions that need to be answered

1. What should INDEPTH’s business be given current challenges?

2. How does INDEPTH need to be organized going ahead?

3. How can INDEPTH finance its operations in a sustainable fashion?

4. How can INDEPTH manage through this transition?
How can INDEPTH finance its operations in a sustainable fashion?

**Current Picture**

- INDEPTH has significant funding gap for future operations, which MCTA will cover in the short term.
- Lack of core, unearmarked funding holds back ability to pursue new areas.
- Personnel is the largest core cost & is likely to increase.
- Capacity Strengthening dependent on funding availability which is sporadic.
- Fragmentation of donors means greater administrative burden.

**Proposed Recommendations**

- Develop large cross-site studies (e.g., MCTA) which also cover core costs.
- Develop long term Capacity Strengthening proposal that anchors core activities.
- Value and market outputs and processes of Network as products to that other institutions would be interested in (e.g., life-tables, data entry and analysis capacity) that can form part of core unrestricted funding.

**INDEPTH’s financials and spend patterns**

- INDEPTH is receiving significantly less public and corporate funding than analogous organisations.
- Conferences of analogous organisations are funded with partnership and member contributions.

**Benchmark against comparable organizations**

- INDEPTH will fail the 2007 One Third Support Test for public funding but Facts & Circumstances Test should allow INDEPTH to maintain 501(c)(3) status.

**Address external/regulatory constraints**

- Solicit international public sector support as part of long term plan to work with local/national public sector partners and funders.
- Finance AGM through contributions from members and other partners (e.g., industry).
- Establish development target goals and strategies for public sector support for the immediate term.
- Actively recruit funding from other sources to ensure maintenance of status.