



Research Approval and Publication Policy and Procedures

Preamble

This document sets out the policy and procedures for research approval, communication and dissemination as agreed at the first annual planning meeting of the ABCD National Research Partnership on the 27th and 28th of July 2010.

The policy and procedures aim to ensure that the ABCD National Research Partnership (the Partnership) has the best possible impact on policy and practice. It is important that both research and dissemination are consistent with the ethos and principles of the Partnership and that partners receive appropriate credit and acknowledgement for their work. The Partnership needs to communicate findings from the research in a way that dissemination coming from the various partners does not conflict or undermine the dissemination from another partner. The policy and procedures are intended to provide flexibility, and research leaders and steering committees in each region are expected to exercise a reasonable level of autonomy in the application of the policy, while ensuring adherence to the aims and principles of the Partnership.

Partnership aims:

1. Identifying factors that underlie variation in health care practice, including variation in practice between regions and between health centres.
2. Identifying characteristics of health centres and regions that enable them to deliver high quality care.
3. Identifying and disseminating specific strategies that have been found to be effective in improving clinical performance in real world implementation settings and working with health centre staff to enhance effective implementation of successful strategies.



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Overview

This document outlines the approach for:

1. Access to data for exploratory research purposes;
2. Approval of plans to conduct research within the Partnership;
3. Release of data from the One21seventy information system;
4. Determining authorship of publications arising from work conducted through the Partnership;
5. Approval of publication of work arising from the Partnership; and
6. Sharing and maintaining a record of all publications, dissemination materials, conference presentations.

An outline of the roles and responsibilities in relation to research and authorship are attached (Attachment 1).

A Partnership Research Committee comprising a sub-group of the chief investigators named on the funding application will be established as the key decision making group for implementation of the policy and procedures. This committee reports to the Project Management Committee.

1. Access to data for exploratory purposes

Researchers may request data for exploratory purposes when developing a research proposal. These requests will be submitted to the Project Manager on the standard template *Request for Data from One21seventy Database* (Attachment 3). Use of the data beyond the exploratory / proposal stage requires approval as below.



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*Improving practice
through research*

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2. Approval of plans to conduct research within the ABCD National Research Partnership

Proposals to conduct research through the Partnership will be developed by regional research teams and by staff of the Project Coordinating Centre, under the guidance of the relevant Regional Steering Committee and Chief Investigators.

Before commencement of the research, proposals will be assessed and approved by the Research Committee to:

- a. Ensure relevance to the research objectives of the Partnership;
- b. Ensure relevance and potential benefit to the participating health services and their service populations;
- c. Ensure feasibility and rigor in terms of research approach and available resources;
- d. Prevent unnecessary duplication of other work; and
- e. Ensure adherence to appropriate ethical standards for research as outlined in the National Statement on Ethics and Values for Indigenous Health Research.

Procedure for approval of research:

1. A brief outline of the proposed research will be submitted to the Project Manager on the standard template *Expression of Interest – ABCD National Research Partnership Project Analysis or Sub-study* (Attachment 2) including names and contact details of all health centres which have agreed to participate in the research (if applicable) and how the health service Partners and health centres will be involved in the research, including how findings will be disseminated within Partner organisations and participating health centres



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2. The Research Committee will assess the proposal and provide an outcome of the assessment within four weeks of receipt; and
3. Researchers will obtain relevant ethics approvals for the research project. Copies of the ethics application and ethics approval letter is to be provided to the Project Coordinating Centre prior to commencement of research.
4. Researchers are requested to provide a brief report on the progress of the project by end May and end November each year and a final report on completion of the project.. This will be reviewed by the Research Committee and made available to partners at the Biannual Research meetings (Attachment 4).

3. Release of data from the One21seventy database

Requests for data will specify:

- a. What data are required from the Project Coordinating Centre, and this will need to be consistent with the aims and methods described in the research proposal;
- b. The terms of use of the data supplied; and
- c. The names and contact details of all research team members that will have access to the data.

Procedure for requesting data from One21seventy database:

1. The request will be submitted to the Project Manager on the standard template *Request for Data from One21seventy Database* (Attachment 3)
2. ABCD National Research Partnership Research Committee and relevant Ethics Committee approval must be obtained prior to requesting data.
3. Cleaned and coded datasets will be provided by the Project Coordinating Centre in a mutually agreed format (STATA or similar package), together with a data dictionary



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and any relevant standard definitions that should be used consistently across the project.

4. Guidelines for preparation of publications:

- Refer to Regional Project Leader where data from one State/Territory or to National Project Leader for more than one region;
- Discuss the outline and draft with the Project leader early in the preparation of the manuscript;
- Ensure publication is consistent with the 'Research Approval and Publication Policy and Procedures' and complies with the confidentiality and privacy conditions in ethics committee approvals;
- Data will not be reported in any form that makes it possible to link individual-level information to individuals without prior written consent.
- Data will not be reported in any form where it is reasonably possible to identify health centres without explicit prior written approval from the health centres concerned.
- Send late draft of manuscript to relevant Project Leader for final approval;
- Send to health service(s) for comment prior to publication, as required; and
- Forward publication to Project Manager for electronic record and dissemination to partners

5. Determining authorship of publications arising from work conducted through the partnership

Scope of 'publications' covered by this paper

The use of the term "publications" in this document refers to journal articles, journal commentaries (online and paper), book chapters, policy briefs, research reports and



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conference presentations (oral and posters), designed to inform researchers and the wider community about the research processes, methods, tools and findings. Media releases and interviews relating to Partnership wide issues should be referred to the Menzies Communication Unit (through the Project Co-ordinating Centre) for advice prior to release or interview. Media releases and interviews relating to region specific issues within the Partnership should be referred to appropriate channels within regional partner organisations as determined by the regional project leader. The Project Co-ordinating Centre should be advised of regional media activities.

Authorship

All publications originating from the Partnership must include as authors all those who significantly contributed to the development of the publication. The Partnership Authorship Guidelines comply with the International Committee of Medical Journal Authors (ICMJA) Guidelines¹, the Australian Code of Responsible Conduct of Research², and the Values and Ethics Guidelines for the conduct of research with Aboriginal and Torres Strait Islander People³.

Criteria for authorship credit are based on:

- Substantial contributions to conception and design, or acquisition of data, or analysis and interpretation of data;
- Drafting the manuscript for publication or revising it critically for important intellectual content (true research input); and
- Approval of the final version for publication

¹ www.ismja.org#author

² <http://www.nhmrc.gov.au/publications/synopses/r39syn.htm>

³ <http://www.nhmrc.gov.au/publications/synopses/e52syn.htm>



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All three of the above criteria must be met to warrant authorship on research publications. The following contributions on their own do not warrant authorship: acquisition of research funding, data collection, routine editing, or supervision of the research team.

The order of authors should be determined by their level of contribution and involvement, as decided by the lead author in consultation with other authors. The first two listed authors should be those who have taken primary responsibility for manuscript preparation and an overall leadership or management role in the research on which the report/paper is based. Priority will be given to those who have played the most active roles in driving the development of a specific manuscript, including scoping the manuscript, ensuring quality and completeness of data, analysis and interpretation of the data and preparation of the manuscript. Negotiation on who is to be included as an author and of the specific order of authors will be the responsibility of the first author(s), who in most instances will be the individual(s) who drive the scoping and preparation of the manuscript. The senior author (last named) will vary but will generally be one of the chief investigators.

It is the first author's responsibility to ensure that all publications comply with the confidentiality and privacy conditions outlined in the ethics committee approvals for the Partnership research, and with the conditions of the health centre Participation Agreements. The lead author will also take responsibility for all correspondence relating to the publication, unless another author is designated as corresponding author.

Acknowledgements

The lead author will take responsibility for ensuring all appropriate acknowledgements are made. All publications must acknowledge the contribution of the National Health and Medical Research Council as the funding body (including the application number for the project - ID No.545267). The Lowitja Institute should also be acknowledged as a



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funding and auspicing body for the project. All collaborators, partner organisations and key contributing stakeholders who play an important role in the research project, but who do not qualify as contributing authors should be acknowledged in the manuscript. A standard statement of acknowledgement that can be adapted for purposes of specific manuscripts is provided below:

This project would not be possible without the active support, enthusiasm and commitment of << e.g. staff and management of the participating health services and / or XXXX organisations and / or the contribution made by the wider ABCD National Partnership Project team>>. The ABCD National Research Partnership Project is supported by funding from the National Health and Medical Research Council (ID No.545267) and the Lowitja Institute, and by in-kind and financial support from a range of Community Controlled and Government agencies. <<Add acknowledgement of funding support for individual research scholarships/fellowships as required, e.g. XX's work is supported by an NHMRC Postdoctoral Fellowship (#9999999); YY's work is supported by an NHMRC Research Fellowship (#8888888).>>

6. Approval of publication of work arising from the ABCD National Research Partnership

Manuscripts for submission for journal publication, policy briefs or research reports

A well-developed and complete draft of the manuscript should be sent to the Project Manager at least four weeks prior to submission for publication to allow opportunity for the Partnership Research Committee to comment.

Final approval for manuscripts which include data from across more than one region in the partnership will be the responsibility of the CIA (Prof. Ross Bailie).



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Final approval for manuscripts which include data from only one region in the partnership, will be the responsibility of the Project Leader in that region.

Conference presentations, slides/papers/posters

A well-developed and complete draft should be approved by the regional project leader (in the case of research relevant to a specific region) or by the overall project leader (in the case of research relevant to more than one region).

The Partnership Research Committee should review decisions regarding the need for advising participating services in their regions of the preparation or content of manuscripts, policy briefs, research reports or media statements and may require additional advice to be provided to service organisations prior to publication. This should be done with due consideration to respecting the embargo on release of manuscripts prior to journal publication. All partners should adopt a participatory dissemination approach that undertakes to disseminate findings to Project partner organisations and participating services prior to disseminating to the scientific community.

6. Sharing and maintaining a record of all publications, dissemination materials, conference presentations

Final copies of all publications, dissemination materials, or conference presentations related to Partnership research should be provided to the Partnership Project Manager within two weeks of finalisation of these materials. The PCC will make these available to all partners through the establishment of an accessible repository of electronic versions of all documents/resources.

ATTACHMENT 1

ROLES AND RESPONSIBILITIES

Project Management Committee

As the peak decision making body for the project, the Committee will:

- Provide strategic direction for research planning and implementation;
- Approve the '*Research Approval and Authorship Policy*';
- Approve the Terms of Reference and membership of the Partnership Research Committee; and
- Receive reports from the Partnership Research Committee on project research activity and outcomes.

Partnership Research Committee

As a sub committee of the Project Management Committee this Committee will:

- Be constituted from a sub-group of the chief investigators named on the NHMRC funding application;
- Assess and approve research proposals from State/Territory Steering Committees and/or the Project Coordinating Centre;
- Review decisions regarding the need for advising participating services in their regions of the preparation or content of the manuscript;
- Comment on a late draft of all manuscripts; and
- Make recommendations and report to the Project Management Committee.

Regional research team

The Regional research team is made up of the Research Officer and some members of the State/Territory Steering Committee as determined by the Regional Project Leader – some members will be in an advisory role, others will be more actively involved in the research design, implementation and oversight. The team will:

- Under the guidance of the Regional Steering Committee, develop research proposals and submit these to the Partnership Research Committee;
- Submit requests for data to the Project Coordinating centre;
- Gain regional ethics clearance and ensure adherence to high ethical standards;
- Contribute to the regional/state/territory level analysis and interpretation of clinical audit and systems assessment data; and
- Gain approval from the national or regional project leader of all manuscripts prior to submission for publication.

Project Coordinating Centre Team

- Provide Secretariat support to the Partnership Research Committee;
- Provide data sets to researchers once proposals for access to data on One21seventy website have been approved.
- Maintain a record of
data sets provided to researchers and
management of the data set at the completion of the project.
- Analyse, interpret and report national data;.
- Support regional research teams in implementation of regional research plans and activities;
- Action national level research activity and research transfer plans under the guidance of the Project Management Committee and the Research Committee.



ATTACHMENT 2

EXPRESSION OF INTEREST – ABCD NATIONAL RESEARCH PARTNERSHIP: PROJECT ANALYSIS OR SUB-STUDY

Date EOI received by PCC/...../.....
Assessment process to be completed by/...../.....

Background

Analysis and research affiliated with the ABCD Research Partnership needs to be approved by the Research Committee prior to provision of data and/or approaching participating services for new data collection. The purpose of this process is to provide advice and support and to assess proposals to ensure:

- relevance to the research objectives, ethos and principles of the Partnership;
- relevance and potential benefit to the participating health services and their service populations;
- feasibility and rigor in terms of available resources and approach; and
- adherence to appropriate ethical standards for research.

The potential project needs to be discussed with the Regional Project leader prior to submission of this form. Please complete all sections. Insert “Not Applicable” where appropriate. Provide as much relevant information as possible. Submit the completed EOI to the Project Leader in your State/Territory or to the National Project Leader for projects across more than one jurisdiction..

Please refer to the ‘Research Approval and Publication Policy and Procedures’ when completing this Expression of Interest at www.menzies.edu.au/abcd

Further information:

National: Prof. Ross Bailie	ross.bailie@menzies.edu.au	(07) 3010 3900
National: Gill Schierhout	gill.schierhout@menzies.edu.au	(02) 9402 5512
Far West NSW: Dr Hugh Burke	maarimaact@bigpond.com	(02) 6295 3165
NT: Prof. Tricia Nagel	tricia.nagel@menzies.edu.au	(08) 8922 8196
QLD: A/Prof Sarah Larkins	sarah.larkins@jcu.edu.au	(07) 3328 8500
SA: Dr David Scrimgeour	david.scrimgeour@ahcsa.org.au	(08) 8132 6700
WA: Prof. James Semmens	James.Semmens@curtin.edu.au	(08) 9266 1856
WA: Dr Sandra Thompson	sandra.thompson@cucrh.uwa.edu.au	0407 592 740

For any enquiries regarding the project in general contact the ABCD National Research Partnership Project Manager at abcd@menzies.edu.au You can also visit our website at www.menzies.edu.au/abcd

SECTION A: TO BE COMPLETED BY APPLICANT

Proposed title of research project:	
Proposed start date	Proposed end date
Research question(s):	
Principal Investigator	
Name	Position
Organisation	Address
Phone	Email
Names and roles of project partners and researchers (include names of participating health centres/services if applicable)	
Is the research the project of a student for higher degree purposes?	YES / NO
If yes, please provide student's name, course, institution, course state date and expected completion date	
Please list supervisors	

Brief outline of what you are interested in. Include:	
Research questions / hypothesis	
Main type of data of interest (e.g. maternal and child health audit data, systems assessment data, qualitative data, etc)	
Data management	
Data analysis (who will support analysis, what level of support is available, security of data,)	
Will this project include additional empirical data collection?	YES / NO
If yes, please state health services who will be involved, and whether or not permission has been obtained for this involvement	
Main proposed method of analysis	
The project promotes open access to data. Do you give in principle agreement to share data from your project at the end of the project?	
YES / NO	
Comments:	
Expected outcomes and likely target audiences: (e.g. abstract to xx conference, paper to be submitted to public health journal / CQI journal, policy brief, etc)	
Anticipated research communication, knowledge transfer and implementation	
Is the project covered under existing ethics approval?	YES / NO
If yes, provide details (committee name and code, date, approval number)	
If no, state plans for obtaining ethics approvals	

Do you have complementary funding for this work?	YES / NO
If yes, describe source, and amount	
If no, will funding be sought?	
Which partnership deliverables does the project contribute to?	
<i>(tick all that apply)</i>	
Understanding of policy, system, and contextual factors and individual client level factors that contribute to variation in quality of primary health care	<input type="checkbox"/>
Description of the continuous improvement strategies and activities implemented in participating health centres	<input type="checkbox"/>
Analysis of enablers and barriers related to translating system assessment, clinical audit and relevant qualitative data into concrete QI strategies and activities	<input type="checkbox"/>
Analysis of the effect of specific QI strategies/activities on service delivery and clinical outcomes; better understanding of factors that augment or weaken effects	<input type="checkbox"/>
Description of synergies of Partnership research project with other quality improvement initiatives	<input type="checkbox"/>
Description of research transfer in terms of what and how the research evidence is translated into routine practice and policy development	<input type="checkbox"/>
Comment:	

.....
Principal Investigator

...../...../.....
Date

.....
Regional Project Leader

...../...../.....
Date



ASSESSMENT AND OUTCOME OF RESEARCH APPLICATION

To be completed by each Research Committee member assessing the application

Title	
Investigator	
Assessor	

Assessment Criteria	
Confirm that one or more partnership deliverables / aims are being addressed by this project	YES / NO / FURTHER INFORMATION REQUIRED
Confirm that proposed design has potential to achieve the project objectives	YES / NO / FURTHER INFORMATION REQUIRED
Confirm ethics approval processes	YES / NO / FURTHER INFORMATION REQUIRED
Confirm no duplication or overlap with work of others in the partnership	YES / NO / FURTHER INFORMATION REQUIRED
If Yes to above, research committee to complete suggestions for maximizing the benefit of the project below	
Are there other projects in the partnership / networks that are complementary and that could strengthen the work? Provide details.	
Who are the experts within our partnership / networks who should be informed and might assist with these efforts? Provide details.	
Are there opportunities in this topic to contribute to regional / community capacity building? Comment.	
Is there potential to attract additional external funding or 'in-kind' resources that could strengthen the work? If yes, provide suggestions.	
Are there others whose early input would improve the project (e.g. key stakeholders)	

OTHER COMMENTS
..... / /



Signed
Member Research Committee

Date

REQUEST FOR DATA FROM ONE21SEVENTY DATABASE

Prior to completing this form, please read the ABCD Partnership's "Research Approval and Publication Policy and Procedures" document.

Data can only be supplied in relation to services that have consented to the use of their data for research purposes, that is, those that have joined the ABCD National Research Partnership (the Partnership) or previous ABCD projects.

Exploratory data can be requested for use by researchers who are developing research proposals that they are planning to undertake under the Partnership and that are consistent with the objectives of the Partnership project.

Requests for raw (de-identified) data beyond the exploratory/proposal stage need approval from the ABCD National Research Partnership Research Committee and evidence of ethics approval for the project.

All requests are to be submitted to the Project Manager ABCD Partnership Project (mailto: cynthia.croft@menzies.edu.au).

1. Date of request	
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2. Details of requestor	
Name	Position
Organisation	Address
Phone	Email
Name of project	

3. Requests for exploratory data only (proceed to 5. Applicant's certification)
What is the data required for? (ie purpose/context):

4. Requests regarding research proposals already assessed by the ABCD Research Committee	
Research Project EOI has been approved by the ABCD Research Committee	YES / NO
Research approval reference number:	
Ethics committee approval for this specific project?	YES / NO / N/A
Name of ethics committee and approval number if applicable	
<i>Note: ABCD NRP approval to conduct an analysis must be received before raw data are obtained. Approval is for analysis on a specific topic and other analyses may not be conducted without seeking further approval.</i>	

5. Applicant's certification about the use of data
<ol style="list-style-type: none"> I have read the document "ABCD National Research Partnership Research Approval and Publication Policy", the "NHMRC Australian Code for the Responsible Conduct of Research" and the "National Statement of Ethics and Values for Indigenous Health Research" and agree to abide by their conditions. The data to which access is sought will be stored securely and used solely for the purpose of undertaking this project / activity and will only be made available to the immediate research team. Copies of these data will not be made except for the purposes of back-up. Any publication, presentation or other use for which the data requested will be used will correctly attribute the origin of the data, using the form of Acknowledgement as outlined in the "ABCD National Research Approval and Publication Policy". Any journal or conference submission using these data will be submitted to the research committee before submission to a journal / editor / review panel. All final copies of presentations and publications will be provided to the Project Manager within 14 days of finalisation.

5. I will inform the Project Manager, ABCD National Research Partnership Project when data analysis is complete, and will provide bi-annual updates on progress.

Name:

.....
(signature)

...../...../.....
(date)

Affiliation: ABCD Partner Organisation Student Other (*specify*).....

6. Data Requested

Outline specifications of your data request below. If you have any queries, contact the Senior Research Officer (mailto: veronica.matthews@menzies.edu.au in the Project Coordinating Centre.

Description of data required:

- Systems assessment data
- Health and community survey data
- Clinic audit data – specify type of audit(s):

- National (or)
- States / Territories – specify:
- Services – specify if known:

- Transcripts of qualitative data

Other specifications (eg date, age range, etc):

Please specify preferred format (eg Xcel spreadsheet, Word, statistical coding (eg Stata) etc):

7. Details of research team members who will have access to the data (research leaders, research assistants etc)				
Name:	Position:	Organisation:	Email:	Signature:
Note: Every person who has access to the data must read and sign the Applicant's Certification about the use of data above (duplicate as necessary).				

THIS SECTION FOR COMPLETION BY PARTNERSHIP PROJECT COORDINATING CENTRE	
..... Signed/...../..... Date Approved
..... Signed/...../..... Date Approved
Name of dataset provided:	

RESEARCH PROJECT PROGRESS REPORT

1. PROJECT

- 1.1 *Project Title:* _____
- 1.2 *Project Leader:* _____
- 1.3 *Administering Organisation/s:* _____
- 1.4 *Report Period:* _____

2. PROJECT SUMMARY

- 2.1 **100 word Project summary (as indicated in the original EOI proposal)**

3. PROGRESS OF PROJECT

- 3.1 **Concise summary of activities since last report**

- 3.2 **Have there been changes to or problems with the project?** Yes No
If No, please move on to section 4. If Yes, please complete the remainder of section 3.

If Yes, provide details (*supporting documentation can be attached separately if required*)

4. ACHIEVEMENTS AND MILESTONES

- 4.1 **What are your achievements and any research findings to date?**
Please provide 1 to 2 paragraphs only

- 4.2 **What are your research milestones for the next 6 months?**
Please provide 1 to 2 paragraphs only
(Please note that in your next report, you may be asked to report progress against these milestones)