

CORE¹ Multi-Site Publications Policy

A. PURPOSE

The primary purposes of this document are:

1. To support and manage the integrity of the publications and dissemination products developed from the HRSA Outreach Initiative in accordance with the SPNS program guidance (2000) and professional and scientific principles;
2. To support the dissemination of findings regarding outreach strategies to engage and retain underserved individuals living with HIV in primary care; and
3. To ensure that the researchers involved can fairly participate in the process of publishing findings from this study².

As grantees, we have an obligation to educate and inform policy makers, the health care community, and the public on the contribution of outreach to improved engagement and retention in HIV care. The publication guidelines presented in this document provide the structure and a process to promote the dissemination of the highest quality research as basis for informed decision-making.

Dissemination products covered by these guidelines include: journal publications, oral presentations or posters at international, national, or regional conferences, dissertations, and master's theses. These guidelines do not apply to press releases, letters to newspaper editors, media interviews, and reports delivered in-house or within non-professional settings, although authors of these materials also are encouraged to share their work with each research site, CORE, and HRSA to document the initiative.

B. ASSUMPTIONS

Five principles underlie these guidelines:

1. The ultimate purpose of these policies is to promote the dissemination of high quality information emerging from the multi-site experience.
2. The individuals who participate in the structure for multi-site publications are committed to ethical principles of public health, communication, collaboration and collegiality.
3. The peer review process is an accepted paradigm for the review of scholarly publications and presentations, and the publication guidelines for CORE should not interrupt or displace that process.
4. These guidelines apply to all manuscripts, written documents (e.g. abstracts, manuals, and posters), and presentations concerning the multi-site evaluation and findings developed under the support of this study. This policy applies to principal investigators, evaluators, project directors, and staff from each demonstration

¹ For the Targeted HIV Outreach Intervention Model Development and Evaluation Initiative.

² This includes researchers from all 17 of the projects that participated in Phase 1 of the Outreach Initiative, and who contributed data for the Phase 1 multi-site evaluation.

project, CORE staff, HRSA staff, and consultants or other collaborators. It also applies to both Phase I and Phase II of the Outreach Initiative.

5. Priority is given to the core multi-site questions and program priorities described in the SPNS program guidance.

C. PUBLICATION AND DISSEMINATION (P&D) COMMITTEE

A Publications and Dissemination (P&D) committee will be established to provide structure and process for the multi-site publication and dissemination products. The overall role of the P&D Committee is to:

1. Manage the integrity of the publications and dissemination products developed from the HRSA Outreach Initiative in accordance with the SPNS program guidance and professional and scientific principles.
2. Facilitate the production and dissemination of high quality manuscripts and products, including publications that are accessible to people who do not read academic publications.
3. Promote collaborative, rather than duplicative or overlapping publications; and
4. Encourage collegiality, communication and mutual support among local Outreach evaluation researchers, CORE, and HRSA;

Structure

1. The P&D Committee will be made up of one member from each of the seventeen demonstration projects (the PI or designee), one member from HRSA and one member from CORE³.
2. Each committee member will receive one vote for decision-making processes (twelve votes total)⁴.
3. Committee members will be identified at the fall multi-site meeting, and membership may change at subsequent fall meetings⁵.
4. Once a calendar year, at a multi-site meeting, the P&D committee will select a chair for a one-year term. The chair will convene and conduct meetings, conference calls and certify the approval of all requests (e-mails and signed documents are acceptable).
5. CORE will staff this committee and provide technical, administrative and communication support to the committee chair and members. CORE will develop and maintain a database of all publication and dissemination products and committee transactions.

3 For Phase 1 multi-site publications and dissemination, the P&D committee invitation will be open to all 17 Phase 1 grantees; for Phase 2 multi-site publications and dissemination, the P&D committee invitation will be open to 10 Phase 2 grantees.

4 For Phase 1 multi-site publications and dissemination, the invitation to participate in the P&D committee and authorship is extended to all Phase 1 grantees, for a total potential membership of 19.

5 Phase 1 grantees that are not involved in Phase 2 will be invited to participate by email, and subsequent telephone conversations as needed to ascertain interest and solidify participation.

P&D Committee Responsibilities

1. Plan, manage, and coordinate multi-site publications and other dissemination products.
2. Facilitate participation of all relevant collaborators in communications and assure that publications/presentations and authorship reasonably reflect contribution to the multi-site study and to the analysis of its data.
3. Convene a structured meeting (via telephone) to discuss all concept papers.
4. Develop procedures for the review of concept papers, abstracts, manuscripts and other multi-site dissemination products that maximizes inclusion of the committee members, while acknowledging time constraints.
5. Review, prioritize and approve/disapprove concept papers that will use multi-site data requested from CORE within 30 days of receipt of the request.
6. Review and approve concept papers for abstracts or presentations within 7 business days of receipt of the request.
7. At the request of the authors, serve as technical advisor to author(s) of documents. The committee may provide suggestions and guidelines regarding scientific integrity. Scientific integrity includes appropriate use of statistical and other analytical techniques, and appropriate data interpretation (e.g., avoiding generalizing beyond the data presented or misrepresenting significant correlations as causal relationships)
8. Review final manuscripts/documents prior to submission for publication and/or presentation for adherence to the multi-site publication policy and for technical considerations, and communicate decisions and comments back to the lead author within 14 business days of receipt of the documents. Review final presentations and abstracts that use multi-site data requested from CORE within 7 business days.
9. Share proposed and approved concept papers with other members of the project team at their local site.

D. TYPES OF ANALYSES AND DATA

Three kinds of analyses exist within the Outreach Multi-Site Initiative:

Type I: LOCAL DATA. Local data consists of any data collected by a single demonstration site [including variables that are on multi-site instruments]. Grantees are completely free to disseminate and publish with their local data without any involvement of the P&D Committee. These dissemination activities should be communicated to HRSA and P&D Committee so that the total impact of the project can be tracked.

Type II: COMBINED LOCAL DATA. Two or more grantees may combine their local data [including variables on the multi-site instruments] to produce an article or presentation. Grantees are completely free to disseminate and publish with their *combined* local data without any involvement of the P&D Committee if they are not

requesting any data from CORE. However, authors of such products will inform the P&D committee of their plans for dissemination and a brief description of the plan. If the authors want CORE to provide the multi-site data elements, this request must be processed through the P&D committee. In either case, a written agreement is required between the demonstration sites, as well as an invitation to authorship between sites.

Type III: MULTI-SITE DATA. Multi-site data is data from two or more grantees collected via the multi-site Client Interview, Outreach Encounter, and/or Chart review forms. The P&D committee will oversee procedures governing the use of multi-site data for non-core questions. Any requests to use multi-site data from two or more demonstration sites will be governed by the processes described below.

E. PROCESS FOR DEVELOPING A PAPER OR OTHER DISSEMINATION PRODUCT USING TYPE II OR TYPE III DATA FROM CORE

1. The P&D Committee, CORE, HRSA, individual grantees, or groups of collaborating grantees may identify potential publications.
2. Individuals, or groups of individuals, who are interested in developing a paper or other product present their ideas using the Paper Concept Sheet (PCS). See Attachment A.
3. The Paper Concept Sheet and proposed lead author information will be submitted to the chair of the P&D committee, who will coordinate its review by the whole Committee.
4. The P&D Committee has thirty days in which to review the proposal to determine adherence to the CORE Multi-site publication policy. The P&D Committee has seven business days in which to review proposals for abstracts or presentations to determine adherence to the CORE Multi-site publication policy. The Committee may make recommendations about potential collaborators, and will prioritize topics, if needed, based on their relevance to the multi-site evaluation and available resources.
5. The Paper Concept Sheet shall include a timeline for developing the publication. If the publication or presentation is not completed during this timeline, the P&D committee may release the topic to another author who expresses an interest in completing the publication/presentation.
6. A given individual should not be lead author on more than one core multi-site paper at a time. This time period is from the time a paper proposal is accepted until it is submitted to the journal for publication. The paper/presentation team has the right to make changes in authorship at any time, as long as agreed upon by the group. Exceptions to this policy (one core multi-site paper at a time) may be made in the final year of the project in order to complete dissemination of the results of the core multi-site study questions.
7. Authorship on a multi-site product should reflect workload rather than project status.
8. The P&D committee must review and approve all multi-site manuscripts prior to submission for publication according to two criteria: adherence to P&D guidelines; and to ensure that the manuscript does not have conflicts or overlap with other approved multi-site proposals/manuscripts. The chairperson will designate reviewers who will have two weeks to review manuscripts according to these criteria, and will

- present findings to the P&D committee for discussion and a vote.
9. The paper will be distributed to the P&D Committee, marked as confidential, not for distribution. Committee members will respect the confidentiality of such communications and prior to publication will not utilize or quote information from the paper without written permission from the first author.
 10. Any collaborating author who does not support a paper or presentation can opt to have his/her name removed from the abstract, presentation, or manuscript.
 11. Each quarter, a list of the approved P&D products will be distributed to the grantee e-mail list. This list will include, at a minimum, the grantee PI, the grantee evaluator, HRSA project officers, SPNS Director and Deputy Director, and CORE Project Officer.

F. PROCESS FOR REQUESTING DATA

1. Grantees who are interested in accessing multi-site data must submit a data request form to CORE.
2. CORE will respond to this request within 10 business days of receiving the data request form. CORE's initial response will include the availability of data, sample sizes given data submitted to date, where the request stands in terms of other multi-site priorities, and an estimated time frame for preparing the data for release.
3. P&D Committee approval of a request to use multi-site data from all participating grantees shall also mean approval to release these data with site-specific identifiers to the author(s) unless a grantee has a specific legal reason that data can not be released or identified. Authors may use this information for analytic purposes, discussion of findings, and mention geographic regions; however, specific grantees will not be named in any publications or products without explicit permission from the grantee.
4. Authors are encouraged to communicate with CORE regarding the availability of data and sample sizes prior to submitting a concept paper in order to determine the feasibility of producing the product within the time frame desired by the authors.
5. CORE and authors/analysts will communicate and collaborate as papers are being written so that multi-site data will be analyzed and interpreted appropriately.
6. CORE will make every effort to provide author(s) with multi-site data requested, providing that such data is available, within one month of the initial request.

G. DATA ANALYSIS

1. CORE will conduct data analysis, in collaboration with lead authors/secondary authors, for any approved papers or presentations that relate to the core study questions for this initiative.

2. CORE will consider requests to conduct data analysis, in collaboration with lead authors/secondary authors, for any papers or presentations that make use of multi-site data, but are not related to the core study questions for this initiative. Consideration will be based on the available resources and timing of the request.
3. CORE will provide multi-site data to project investigators for their own analysis of approved non-core study questions.
4. If a grantee requests a subset of the multi-site data base, for example to conduct an analysis of data from 2 or 3 programs, the Paper Concept Sheet must indicate that the other grantees agree to release their data for this purpose.
5. CORE will negotiate timelines for analysis and provision of data with lead authors, and will make reasonable efforts to supply information as quickly as possible.

H. AUTHORSHIP

Negotiation of authorship should begin at the onset of the document development process with the establishment of a set of expectations for each person listed as an author. Any grantee that provides data for a publication has the right for staff to participate in authorship, commensurate with their contribution to the article or product and the authorship guidelines of the journal. CORE is entitled to authorship on papers to which it makes a substantive analytic, theoretical, or data integration contribution. HRSA will be acknowledged as the funding source and HRSA staff will be given the opportunity to contribute to authorship. Grantees that do not participate as authors will be given acknowledgment as contributing data.

Authorship rules will follow the guidelines of JAMA (http://jama/a,a-asm/prg/ifora_current.dtl), APHA (<http://www.ajph.org/misc/infora.shtml>), and the Vancouver Rules (<http://www.icmje.org/>), whichever is appropriate for the journal to which the article is submitted.

All publications, presentations and abstracts must identify the study name and supporting entities as part of the authorship, title, abstract body or as an Acknowledgement section. For example:

“This report was supported by (insert site grant #) from the U.S. Department of Health and Human Services (DHHS), the Health Resources and Services Administration. The content of this publication does not necessarily reflect the views or policies of DHHS. Responsibility for the content of this report rests solely with the named authors.”

Publications and presentations using multi-site data from more than one site will list as authors the individual or group of individuals responsible for proposing the study and carrying out analysis and writing. Whenever allowed by a journal, book, or other publication editor each grantee (grantee site name and the names of the principal investigator, program director, local researcher and the local researcher’s affiliation if it is not the grantee agency) will be listed in an Appendix or under Acknowledgments.

To address journal limitations on number of authors, yet indicate that the named authors are part of a larger body of scientific collaborators, authors are encouraged to include the following as the last entry in a paper's authorship list: "for the SPNS Outreach Study Group". This also will heighten public identity of the multisite effort.

I. DISPUTES

When conclusions in a paper are expected to be new, particularly important, controversial or at variance with those in any previous report of the study, whether the report is in draft or already published form, the grantees, HRSA, and CORE will keep the P&D Committee informed in detail and will provide it the opportunity for consultation during the preparation stage of such papers. To the extent possible, publication texts should reflect the input from this consultation with members of the P&D Committee. Should a dispute emerge and persist, the P&D Committee retains the right to document its divergence of opinion from the major author(s) in a publication footnote.

J. FURTHER AMENDMENTS

Additional amendments to this policy may be proposed, if needed, at future meetings of the P&D committee. The proposed amendment will be circulated to all committee members at least 5 business days in advance of the scheduled meeting.