

Publications Guidelines

Research for Improved Health: A National Study of Community-Academic Partnerships

Adopted by Project Executive Committee on 3/08/11

Authored by: CBPR Research for Improved Health Study Team.

Compiled by: Emily White Hat and Sarah Hicks

Significant Contributions by: Magdalena Avila, Lorenda Belone, Bonnie Duran, Leo Egashira, Julie Lucero, Maya Magarati, Elena Mainer, Diane Martin, Michael Muhammad, John Oetzel, Cynthia Pearson, Puneet Sahota, Vanessa Simonds, Erik Stegman, Andrew Sussman, Greg Tafoya, and Nina Wallerstein.

Suggested Citation

CBPR Research for Improved Health Study Team. 2011. *Publications Guidelines, Research for Improved Health: A National Study of Community-Academic Partnerships*. Project Protocols, National Congress of American Indians Policy Research Center. From: NARCH V (Indian Health Service/NIGMS/NIH U261HS300293 2009-2013), a partnership between the National Congress of American Indians Policy Research Center (Sarah Hicks, PI); the University of New Mexico Center for Participatory Research (Nina Wallerstein, PI); the University of Washington Indigenous Wellness Research Institute (Bonnie Duran, PI); and CBPR projects nationwide.

Acknowledgments

This document was adapted from the CBPR Research and Evaluation Community of Practice Principles (April 2009). The Research for Improved Health Study Team gratefully acknowledges the CBPR Research and Evaluation Community of Practice (Margarita Alegria, Magdalena Avila, Elizabeth Baker, Beverly Becenti-Pigman, Charlotte Chung, Eugenia Eng, Shelley Frazier, Ella Greene-Morton, Lyndon Haviland, Jeffrey Henderson, Sarah Hicks, Barbara Israel, Loretta Jones, Michele Kelley, Paul Koegel, Laurie Lachance, Diane Martin, Marjorie Mau, Meredith Minkler, Naeema Muhammad, Lynn Palmanteer-Holder, Tassy Parker, Cynthia Pearson, Victoria Sanchez, Amy Schulz, Lauro Silva, Edison Trickett, Jesus Ramirez-Valles, Kenneth Wells, Earnestine Willis, and Kalvin White) for their guidance in the development of this document.

Introduction

Members of the *Research for Improved Health: A National Study of Community-Academic Partnerships* project have a unique relationship which comes with the opportunity and responsibility to share our experiences and results with others. The process of sharing information can take many forms – presentations in informal (community) and professional

(tribal government, conference, classroom) settings; communications with the media; preparation of reports, grants, and manuscripts; and information on websites. Dissemination, or knowledge dissemination, is the process of presenting the research results back to the participating community as well as within the public domain. We feel that non-academic as well as academic publications should be encouraged as an important form of knowledge dissemination. For the purpose of this document, the term “publication” refers to any and all forms of publication and dissemination of information, including presentations.

Principles

The publication and dissemination of the research results will follow generally accepted principles. These principles include:

- Anonymity: The research results will be presented in an aggregate or grouped manner. That is, individual participants will not be identified.
- Anonymity of Partnership: The community-academic partnership has the right to decide if they want to be identified or not identified in the research results. In order to be named in the results, both community and academic partners must consent to be identified.
- Privacy and Confidentiality: All information collected from individual participants and partnerships will remain private and confidential. Only members of the *Research for Improved Health* study team will have access to the data.
- Respect: The cultural and intellectual integrity of any community projects must be respected in all publication and dissemination.

Role of Principal Investigators for Publication and Dissemination of Research

The Principal Investigators (PIs) will facilitate the review of proposed publications. Any proposal review must include evaluation by each of the three PIs (including Sarah Hicks from NCAI, Nina Wallerstein from UNM, and Bonnie Duran from UW) in order to be approved. All research results and knowledge generated by this project will be presented, discussed, and approved by the PIs as well as organizations and communities participating in the research study before the results are disseminated externally to the general public, including scientific publications and conferences.

Data from Research Study

Identifying information will be removed before entry into any database. The individuals who have access to the data are the research team members and anyone approved to analyze the data (i.e. through the Student Involvement Protocol and project Code of Ethics and Integrity).

Community Review and Opportunity for Co-Publication

The PIs will offer the opportunity for any community involved in the research to co-publish. Aggregated information can be used without identifying any one community. However, community members or case study investigators may choose not to join any publications.

Publications and Writing Teams

The three PIs will compile a list of potential journal article publications. This list will be circulated to the Executive Committee members, which includes the research team staff covered by each of the three partners' budget, to solicit interest in the potential publications and to determine writing teams, possible timelines, and targeted journal(s). This process will provide the PIs with a sense of which team members are interested in the potential topics and will help to avoid drafting similar or overlapping papers, submitting papers to the same journal, and publishing articles in an illogical sequence. The NARCH Project Manager, Emily White Hat from NCAI, will compile and maintain this list, and lead authors are responsible for providing updates. From time to time members of the Special Interest Groups (SPIGs) may be invited to participate on the writing team.

Role of Lead Author

Identification of a lead author is based on the person's interest, willingness to do the work, and time available to complete the activity. It should be someone who:

- Coordinates the planning and development of the manuscript in collaboration with research team members;
- Provides a timeline for activities to co-authors and NARCH Project Manager;
- Ensures that co-authors outline their contributions and agree on their contribution before the writing process begins;
- Establishes that criteria for authorship and responsibilities are respected;
- Presents brief updates to Executive Committee on approved proposals;
- Forwards final draft to the Principal Investigators (PIs) for review;
- For oral publications, presents a post-presentation review to Executive Committee; and
- Submits the manuscript to the scientific journal, obtaining signatures for disclosure, if necessary, and meeting all journal submission requirements.

Criteria for Authorship

Lead author and co-authors must satisfy at least one of the following criteria to be invited for authorship:

- Individuals whose original ideas were critical to the implementation of the NARCH V *Research for Improved Health: A National Study of Community-Academic Partnerships* project, or who offer suggestions which contribute to documentation of the related project experience, or both.
- Individuals who have contributed substantially to the concept and design of the research.
- Individuals who have contributed substantially to a synthesis of the literature review.
- Individuals who have contributed substantially to the analysis of the data.
- Individuals who have contributed substantially to the interpretation of the findings.
- Individuals who can provide essential expertise (e.g., academic, Indigenous knowledge, historical clarification, cultural relevancy, etc.).
- Individuals who accept the responsibilities of an author, as described below.

Involvement or membership in the Executive Committee, Scientific and Community Advisory Council, or one of the Special Interest Groups, is not enough to be cited as an author.

Individuals who may have less experience writing for publication or presenting at formal conferences will qualify as co-authors if, either individually with the lead author or with the entire writing team, they satisfy at least one of the following criteria:

- are involved with conceptual discussions about the work or interpretation of findings;
- review and make substantive comments on at least one draft of the presentation and/or paper;
- are part of a detailed discussion of the relevant content; or
- review the final version and give approval.

Although the PIs do not expect to be authors of every paper, it is expected that all of the PIs will approve the final version of the manuscript to be published before it is submitted to the journal. Authorship on the final publication will be modified, if necessary, to reflect actual work contributed before it is sent for publication.

Authorship Responsibilities

The following responsibilities are required of co-authors. All authors must respect each of the four authorship responsibilities:

- Read and understand the overall manuscript;
- Provide a written outline of his/her section assigned by the lead author to be approved by all of the co-authors before writing begins;
- Work within the set time line; and
- Approve the final draft of the manuscript.

Student Authorship

If a student is writing a thesis or dissertation based on this project the student must follow the Student Involvement Protocol: (Hicks, S., and White Hat, E. for the Research for Improved Health Study Team. 2011. *Protocol for Student, Fellow, Pre-Doc, and Post Doc Involvement in the Research Team*. Project Protocols, National Congress of American Indians Policy Research Center.)

Authorship Order

The lead author will be the first author listed on the publication. The publication writing team can modify authorship order if the responsibility and workload is rearranged. The first author is ultimately accountable for any information presented in a publication, and will propose the author list and order to the publication writing team for discussion and approval based on contributions to the final product.

Format(s)

Knowledge can be disseminated in the following format(s):

- Manuscript in a scientific or peer reviewed journal
- Oral presentation of a manuscript at a scientific conference or meeting
- Poster presentation at a scientific conference
- Oral presentation to the community or multiple participating communities, including community leaders and program/technical staff
- Written document to the community
- Monograph or monograph chapter

To adhere to the project's core value of ensuring that the project and all of its products be directly beneficial to communities, when considering which journal in which to publish products, journals which pose the least difficulty in or fewest barriers to community access should be explored first. Specifically, the Public Library of Science (www.plos.org), which allows open access to all materials free to charge and without subscription requirements, should be explored. When a decision is made, for reasons of attempting to influence scholars or funders, to publish an article in a journal that presents significant barriers to community access, the authors should identify ways to make the information accessible to community members, whether it be permission from the journal to share the article more broadly, free of charge or the development of an article of similar scope and findings for parallel publication in another place.

Planning and Development of a Manuscript

When planning and developing a manuscript for publication, all potential authors should acknowledge these guidelines as the protocol for determining authorship. Consensus among lead author and co-authors pertaining to roles and responsibilities should be agreed upon at the earliest planning stages of the manuscript.

Submission Process for Abstracts

The decision to submit an abstract to a conference will be made by the Executive Committee. The Executive Committee must review the abstract of all articles (scientific or for local media), posters and presentations, and results that are to be presented at the conference, before the conference. The Executive Committee will return comments and a decision in two weeks for an abstract and three weeks for a manuscript. If the Executive Committee does not return a decision within the specified timeframe, it is the responsibility of the lead author to follow up with the PIs about the status of their review process.

Outline of Publications Process

The outline for publications shall include:

- Date
- Publication deadline
- Desired journals (or other forms of publication for editorials)
- Short paragraph outlining the topic, including a research question and specific hypothesis
- Identification of lead author, co-authors, and supportive others, including roles they will play in this process

- (If applicable) Complete list of information/data requested (e.g. process of forming the collaborative, data from research)
- Publication timeline
- Dissemination activity (e.g. presentation, report, manuscript, web publications)
- Review time by the PIs
- Completion date

The outline should be submitted to all co-authors, the PIs, and the NARCH Project Manager.

Sharing of Manuscripts Prior to Submission for Publication

From time to time manuscripts developed by the team or team members may be shared prior to submission for publication. The Principal Investigator will make this decision to approve/disapprove the distribution of the manuscript.

A draft manuscript must have:

- “Draft” and “confidential” watermarks
- A note that states “do not distribute”

If a draft is shared on a broader scale than inside use among a team or to potential partners, then the team may have to report that the data was reported elsewhere. The team needs to review any pre-published reports that are widely distributed to ensure that they are not published elsewhere.

Template for Authors/Acknowledgments/Appreciation

(may be adapted in different ways based on specific journal requirements)

Authors

Add names, titles, departments, and university affiliation of all authors

Acknowledgment

All those who contributed to the research project, but do not meet the authorship criteria, may be offered inclusion in the acknowledgment section of the manuscript. The lead author of the manuscript must acquire written permission from those who are acknowledged. An acknowledgement of the project Scientific and Community Advisory Council should be included in all publications:

“The research team wishes to gratefully acknowledge the project Scientific and Community Advisory Council as well as Qualitative, Quantitative, and Research Ethics Special Interest Groups for their contributions to the conceptualization and implementation of this project: Melissa Aguirre, Maggie Alegria, Hector Balcazar, Eddie F. Brown, Charlotte Chang, Terry Cross, Eugenia Eng, Shelley Frazier, Greta Goto, Ella Greene-Moton, Gloria Grim, Barbara Israel, Loretta Jones, Joseph Keawe’aimoku, Michele Kelley, Paul Koegel, Naema Mohammed, Freda Motton, Tassy Parker, Beverly Becenti-Pigman, Jesus V. Ramirez, Nicky Teufel-Shone, Lisa Rey Thomas, Ed Trickett, Derek Valdo, Don Warne, Lucille White, and Sara Young.”

For some publications it is appropriate to acknowledge those individuals, coalitions, or agencies that were key to the project versus the publication specifically. All publications should acknowledge the funding grant number (**Supplement to U26IHS300293/02, Native American Research Centers for Health**), and the partners: partnership project, community-based organizations, and agencies.

Funding and Grant Sources

Acknowledgment of IHS and NIH grant support and a disclaimer, as appropriate, on any publication written or published with such support and, if feasible, on any publication reporting the results of, or describing, a grant-supported activity is required by our primary funder. Per our Notice of Award, one of the acknowledgements below should be included in all project materials:

“This publication was made possible by **Supplement to U26IHS300293/02, Native American Research Centers for Health** from the IHS with the support of the NIH, ...” or “The project described was supported by **Supplement to U26IHS300293/02, Native American Research Centers for Health** from the IHS with the support of the NIH, ... **and** “Its contents are solely the responsibility of the authors and do not necessarily represent the official views of the IHS or NIH...).”

(If applicable) Add additional institutions or granting organizations, name and number of grant, and names of grantees here.

Appreciation

Field investigators, who worked tirelessly and comprehensively in often difficult environments to conduct interviews and record responses include: **Add names here**

Administrative and staff members, who worked on keeping this project on track and on budget, organizing the data and publishing this project include:

From the University of New Mexico: **Add names here**

From the University of Washington: **Add names here**

From [federal/state institutions]: **Add names here**

From [local community organizations/tribes]: **Add names here**

Finally, thank the **community members** who so generously answered all the questions asked of them.

Correspondence concerning this article should be addressed to the lead author of each product. **Add name, title, university department and/or community organization/agency/tribe, mailing address, e-mail address here**

Publication Guidelines Acknowledgment

I acknowledge that I have received and reviewed the *Research for Improved Health: A National Study of Community-Academic Partnerships Publication Guidelines*.

Name (printed)

Date

Signature

Role in Project

Please complete & sign the publication guidelines acknowledgement form and send to Emily White Hat as an electronic attachment to ewhitehat@ncai.org. Mail the original form to Emily White Hat, National Congress of American Indians, 1516 P Street NW, Washington, DC 20005.