

ANZICS CORE Data Access and Publication Policy

Version 4.1 - Updated: 9th October 2011

This policy covers:

1. Access to data from ANZICS CORE by researchers, submitting ICUs, jurisdictional funding bodies and other interested parties
2. Access to and publication of routine reports performed by ANZICS CORE
3. Publication of data, reports, and scientific papers

Executive Summary

Data are collected by ANZICS CORE under the Quality Assurance Legislation of the Commonwealth of Australia (Part VC Health Insurance Act 1973, Commonwealth of Australia). Such data are collected with government support and funding. They are submitted on behalf of each ICU director and each hospital allows subsequent use as appropriate under the ANZICS CORE standing procedures and in compliance with the ANZICS CORE terms of reference. ANZICS CORE are custodians of the submitted data. All hospitals have unrestricted access to their own data and routine reports generated using this data.

Numerous reports are produced by ANZICS CORE which include standard outcome reports provided to submitting ICUs and to jurisdictional liaison committees, data analyses as a result of specific requests to ANZICS CORE and scientific publications using submitted data. ANZICS CORE is keen to support and encourage research using data held in the ANZICS CORE registries.

The following summary principles guide access to data requested from ANZICS CORE and its use in routine reports and scientific publications. Details are explained more fully in the sections below.

- Requests for data and research are encouraged and considered important to further the body information which will lead to improved patient outcomes for critically ill patients in Australia and New Zealand.
- Data where individuals or institutions listed in the dataset might be identifiable, will be provided to external researchers only with either the agreement of the individual or institution, or if there is a suitable confidentiality agreement signed between the researcher and ANZICS CORE.
- Requests for contact details of submitting ICUs which are already publicly available, will be provided freely and are not subject to the rules governing provision of data or publication of research using CORE data stated in the "ANZICS CORE Data Access and Publication Policy".
- Routine reporting to jurisdictional liaison bodies will include identified outcome analyses from all hospitals within the jurisdiction.
- Ethics committee approval is required for all intended scientific publications in peer reviewed journals. This should be sought by the primary author or person in charge of the project from their local institution.
- Any abstract, presentation or manuscript resulting from use of data requested from ANZICS CORE, must be presented to the ANZICS CORE Management Committee for review before presentation or submission for publication and must comply with the "ANZICS CORE Data Access and Publication Policy".

Detailed Description of Data Access and Publication Policy

The following processes provide more detail about the application for data from ANZICS CORE and the requirements for publication of research findings which arise following the provision of data to researchers:

1. Access to Data held by ANZICS CORE

- Requests for data should be made on the official Information Request Form provided by ANZICS CORE (<http://www.anzics.com.au/core/information-requests>).
- ANZICS CORE Management Committee reserves the right to sole control and access to all submitted data.
- Payment for extraction and provision of data or its subsequent analysis may be required.
- Contributing hospitals are provided with full access to their own submitted data whenever requested without charge.
- Data which may allow identification of individuals or institutions listed in the dataset will not be provided to external researchers without either agreement of the individual or institution, or unless there is a suitable confidentiality agreement signed between the researcher and ANZICS CORE. It may be possible for ANZICS CORE to provide datasets with identifying information removed which may still be used for research.
- Data provided to researchers must be securely stored and may not be released to other parties, nor used for purposes other than that determined in the original data request, without the permission of ANZICS CORE.
- Data provided to jurisdictional liaison bodies will identify hospitals but not individuals listed within the dataset.
- Requests for contact details of submitting ICUs and other general information about submitting ICUs which are already publically available, will be provided freely and are not subject to the rules governing provision of data or publication of research using CORE data stated in the "Data Access and Publication Policy".

2. Routine Reports Produced by ANZICS CORE

- ANZICS CORE Management Committee reserves the right to sole control over access to all reports produced by ANZICS CORE.
- Standard reports are routinely provided to submitting ICUs and jurisdictional liaison committees. Reports to ICUs identify the hospital and compare it to de-identified data from peer group hospitals. These reports are available only to the submitting hospital. Unless part of a jurisdictional liaison committee review process or outlier identification and management process, reports identifying a hospital will not be provided to any external party without the permission of the ICU Director at the original hospital.
- Identification of hospitals noted to be outliers through risk adjusted outcome analysis will managed as per the ANZICS CORE Outlier Management Plan which can be found at <http://www.anzics.com.au/core?start=2> and are not covered by the "Data Access and Publication Policy".
- Standard reports to jurisdictional liaison committees contain analyses which identify all hospitals within the jurisdiction. Peer group comparison hospitals outside of the jurisdiction will not be identified.
- Standard jurisdictional reports will include individual identified hospital EWMA charts and Standardized Mortality Ratio funnel plots showing the identified jurisdictional peer group hospitals. Unless specified by specific agreement with the jurisdiction, the following 'local' peer group comparisons will be used:

New South Wales Hospitals only,
Victorian Hospitals only,
Queensland Hospitals only,
Tasmanian Hospitals compared to Victoria and Tasmania combined,
ACT hospitals compared to New South Wales and ACT combined,
WA hospitals compared to all Australia
NT hospitals compared to all Australia
SA hospitals compared to all Australia

3. *Presentations and Publications using ANZICS CORE Data*

General Principles

Publications produced by external bodies and researchers outside of those produced as part of routine reporting by ANZICS CORE must be submitted for review by ANZICS CORE. The purpose of the review is to:

- Ensure that the quality of the data provided and any limitations in scope have been properly understood by the user.
- Encourage broad participation and maximise academic output from the database.
- Provide potential advice on data interpretation.
- Ensure appropriate acknowledgement of ANZICS CORE.
- Ensure appropriate recognition of individuals, groups or collaborating agencies for the work performed in pursuit of the objectives of ANZICS CORE.
- Ensure Intensive Care Units are not identified or identifiable by inference in de-identified data, without the permission of that unit being sought.

3.1 Request for Publication Review

ANZICS CORE encourages members of the Society to actively participate in the generation of knowledge based on data held by ANZICS CORE. Publications must comply with the “ANZICS CORE Data Access and Publication Policy”. All researchers (including members of the ANZICS CORE management committee and CORE staff members) using ANZICS CORE data must comply with “ANZICS CORE Data Access and Publication Policy”.

Prior to publication, presentation of research findings at public forums such as National and International conferences must be notified in advance to ANZICS CORE. Review of the presentation and endorsement for presentation will be at the discretion of the ANZICS CORE management committee or their delegate.

Pre-publication drafts of any derivative works must be submitted to ANZICS CORE for review using the process described below - Application Process for ANZICS CORE Publication Review. The review process can take up to two weeks.

Publication of any research findings which identifies individuals or institutions will be allowed by ANZICS CORE only if there is compliance with the ANZICS CORE publication policy (which includes requirement for review by a Human Research and Ethics Committee) and agreement from the individuals or institutions identifiable in the potential publication.

Unless specified by specific agreements with jurisdictional funding bodies, publication of reports as part of ANZICS CORE routine performance monitoring activities does not require external review and is determined by the “ANZICS CORE Data Access and Publication Policy; section 2: Access to Routine Reports”.

3.2 Outcomes of the Publication Review Process

ANZICS CORE supports the scientific conclusions and no modifications suggested.

ANZICS CORE has concerns with the scientific conclusions, and recommends modifications, to which it supports the ensuing conclusions.

ANZICS CORE does not support the scientific conclusions and suggests major revision.

ANZICS CORE had determined that contributing units have/can be identified and the permission of the identified unit must be sought and granted before publication can proceed.

3.3 Authorship

The minimum requirement for authorship should accord with the Vancouver Protocol.¹ Authorship is substantial participation where all of the following conditions are met:

- Conception and design, or data acquisition, analysis or interpretation

- Drafting the article or revising it critically for important intellectual content
- Final approval of the version to be published
- Acquisition of funding, collection of data, or general supervision of a research group, alone, does not justify authorship. Authors are required to provide a description of each contributed, to enable editors to publish such information.
- All others who are not authors should be named in the acknowledgments with a description of their contribution. Courtesy demands that individuals or organisations providing facilities or resources should be acknowledged. The work of research assistants and technical officers should be recognised in any publication derived from research to which they have contributed.

The order in which authors are listed should be explained. Where authorship is attributed to a group, e.g. multi-centre trials, all members of the group who are named as authors should meet the criteria for authorship. When there is more than one co-author of the material, one co-author (by agreement amongst the authors) should be nominated as executive author and should take responsibility for record keeping purposes. Where the research is published, including electronically, all co-authors should certify their authorship in writing. Authors of publications should disclose potential conflicts of interest²⁻⁵ Where an author is an ANZICS employee or ANZICS CORE Member, authorship should be sited in the following manner:

John Smith for the Australian & New Zealand Intensive Care Society (ANZICS) Centre for Outcomes & Resource Evaluation (CORE).

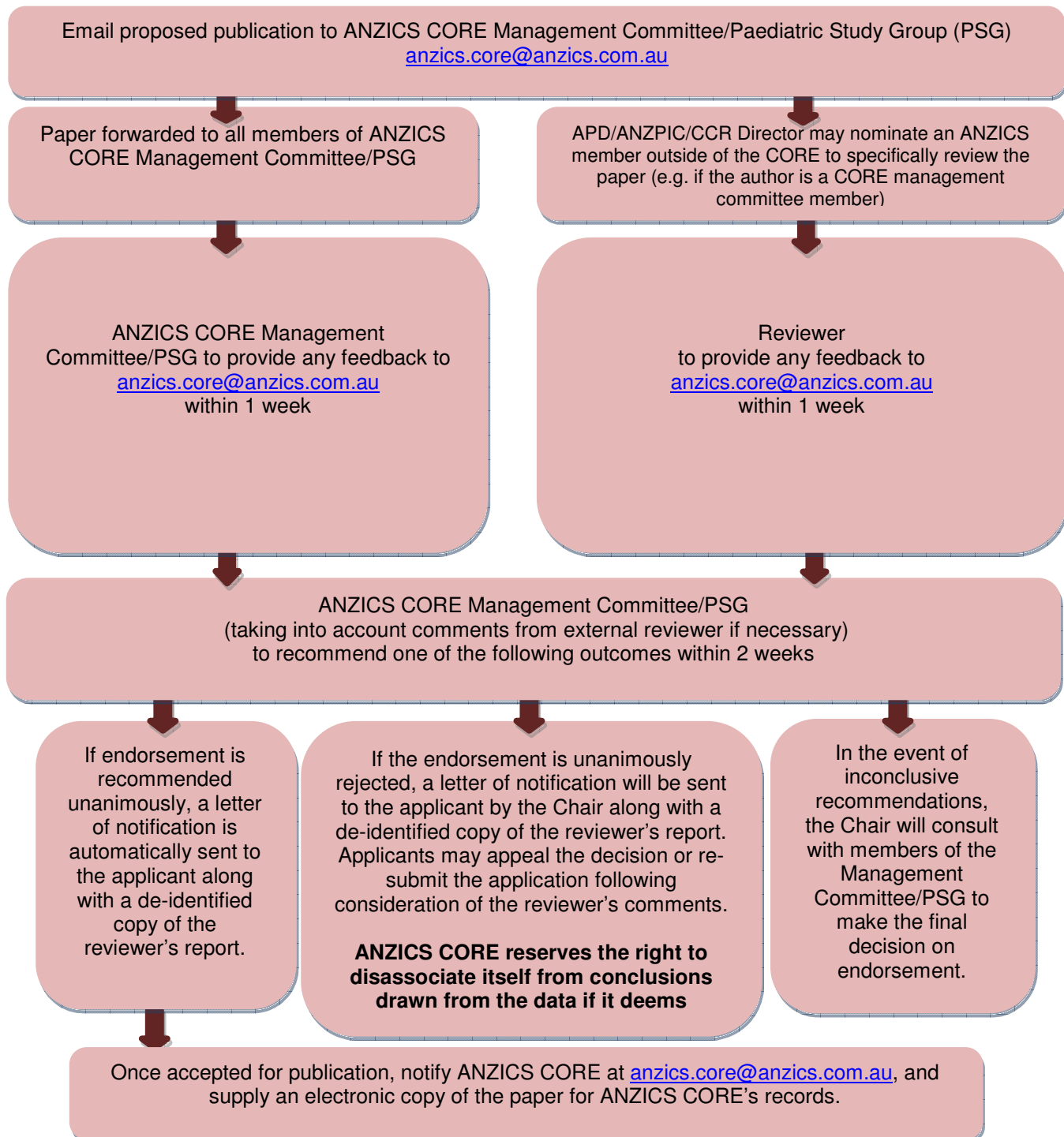
This allows for CORE to be a searchable item under PubMed and other search engines.

3.4 Publication

When submitting a journal for publication, the following must be considered:

- A publication should contain appropriate references to the contributions made by all participants in the research activity.
- Any person who has participated in a substantial way in conceiving, executing or interpreting research (or any part thereof), should be given the opportunity to be included as an author.
- Publication of multiple papers based on the same set(s) or subset(s) of data is unacceptable except where there is full and appropriate cross-referencing between papers.
- An author who submits substantially similar work to more than one publisher should disclose this at the time of submission.
- Where there is private reporting of research (especially to prospective financial supporters), researchers have an obligation to explain fully the status of their work and the peer-review mechanisms to which it will be subjected.
- Publications should include information on sources of financial support for research. Financial sponsorship that is subject to an embargo of a named sponsor should be avoided.
- Accuracy is essential in describing the state of publication (in preparation, submitted, accepted), research funding (applied for, granted funding period) and awards conferred.
- Deliberate inclusion of inaccurate or misleading information relating to research activity, or failure to provide relevant information is a form of misconduct. (Misconduct may include the use of another person's ideas, work or data without appropriate acknowledgment or misleading ascription of authorship to a publication).
- All care should be taken to ensure that published reports, statistics and public statements about research activities are complete, accurate and unambiguous.³⁻⁵
- Once accepted for publication, ANZICS CORE must be notified via email to anzics.core@anzics.com.au, advising reference details.

3.5 Summary of the ANZICS CORE Process for Review of a Proposed Publication



4. Acknowledgement of the Society

The method by which ANZICS is acknowledged will be determined by the type of intended publication. For standard reports, such as the Critical Care Resources (CCR) Annual Report and the ANZICS CORE Annual Report, authors including employees should be listed and ANZICS, its members and participating sub-committees acknowledged. In these cases, ANZICS is the publisher.

For peer reviewed publications extending from data held by ANZICS CORE, authors should be listed according to previous criteria and then "...and the Australian & New Zealand Intensive Care Society (ANZICS) Centre for Outcomes & Resource Evaluation (CORE)". Where journal space limitations allow, use "... for the ANZICS CORE Management Committee." Where authors are either employees of or hold posts within the ANZICS CORE organisation, ANZICS CORE should also be listed as the affiliated institution.

Peer reviewed publications resulting from a collaborative prospectively arranged research study will name the major contributor(s) from each entity who have contributed to the design, coordination and write up of the work. Individuals coordinating data gathering at individual institutions should be cited as 'Study Group Members'.

For sponsored works, for example if AHWAC wishes to collaborate on a workforce study, authors including employees, should be listed and ANZICS CORE, its members and participating Sub-Committees acknowledged. The major contributors from the collaborating agency and ANZICS are joint publishers.

References:

1. International Committee of Medical Journal Editors (2000) Uniform requirements for manuscripts submitted to biomedical journals.
<<http://www.icmje.org.index.html>> (23/5/2001)
2. AV-CC (1997) Joint NHMRC / AV-CC Statement and Guidelines on Research Practice. Australian Vice-Chancellors Committee, Canberra.
<<http://www.avcc.edu.au>> (25/5/01).
3. The University of Melbourne (2000) Code of Conduct for Research. Regulation 17.1.R8 under statute 17.1. The University of Melbourne, Melbourne.
<<http://www.unimelb.edu.au>> (25/5/01).
4. Monash University (2001) Research and Training Policy and Operational Manual. Monash University, Clayton.
<<http://www.monash.edu.au>> (17/8/01).
5. University of Melbourne Postgraduate Association (2000) A Basic Guide to Intellectual Property. University of Melbourne Postgraduate Association, Melbourne.
<<http://www.umpa.unimelb.edu.au>> (24/7/01).

Application for the Review of a Publication Using ANZICS CORE Data

To be completed by the corresponding author and submitted to anzics.core@anzics.com.au with a full copy of the paper proposed for publication.

Publication Details

1. Full Title of Paper:	
2. Nominated Authorship:	
3. Corresponding Author:	
4. Name of Target Journal/Audience:	

Disclosures

Please answer Yes or No to the following questions:

5. Have all associated funding bodies been disclosed in the paper?	
6. Have all affiliated bodies / institutions been disclosed in the paper?	
7. Have all associated investigators / research coordinators been listed in the paper?	
8. Has the scientific validity of the paper been unanimously endorsed by the Study Management Committee (if applicable) and/or all listed authors?	
9. Have all financial conflicts or dualities of interest been disclosed in the paper?	

If you answer NO to any, please provide details and a justification:

Signed: _____

Name: _____

Date: _____

ANZICS CORE Review of a Publication – Reviewer’s Report

Name of Reviewer:
 Full title of Paper:
 Corresponding Author:

Please score the paper according to the following criteria:

1 = Unacceptable 2 = Substandard 3 = Standard 4 = Above Standard 5 = Outstanding

	1	2	3	4	5
Complies with ANZICS CORE Publication Policy					
The Data and Any Limitations in Scope or Quality of the Data has been Properly Understood by the User					
Work Performed in Pursuit of the Objectives of ANZICS CORE					
Appropriate Recognition of Individuals, Groups or Collaborating Agencies					
Overall Scientific Quality of the Paper					

Are any units identified or recognizable from de-identified data? Yes/No
 The permission of the contributing unit must be obtained before publication

Has approval been granted from the local ethics committee? Yes/No
 Permission must be obtained before publication

Do you support the scientific conclusions of this paper? Yes/No
 If No, please state reasons and recommend further action.

Has ANZICS CORE been appropriately acknowledged? Yes/No

Additional Comments:

Signed:

Date: