



GUIDELINES AND EXPECTATIONS FOR RESEARCH COLLABORATIONS IN AGINCOURT

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A. BACKGROUND

1. Purpose of the document

The MRC/Wits Rural Public Health and Health Transitions Research Unit (Agincourt) – hereafter called the MRC/Wits-Agincourt Research Unit or the Unit - collaborates with a number of researchers with varying levels of experience from different universities all over the world. The guidelines presented below inform potential collaborators (including graduate students) as to the expected operating issues and practices that require consideration and discussion prior to a final approval for collaboration with the Unit. These guidelines will be updated from time to time, and are intended to secure efficiency, avoid misunderstandings, guarantee maintenance of research excellence, benefit local Agincourt communities, build research capacity, and provide a basis for resolution of difficulties that may arise in the course of any collaboration.

Note that various documents referred to in these guidelines are available upon request from the Agincourt Unit. These include policies and standard operating procedures, sample field guidelines, and the data user agreement and the data request forms.

2. Guiding principles

- a. All projects in, or associated with, the MRC/Wits-Agincourt Research Unit must adhere to the Unit's code of ethical practice, which seeks, inter alia, to preserve and strengthen working relationships with local communities, to reinforce local and provincial stakeholder interaction around research findings and to maintain the confidentiality of the data generated.
- b. Strengthening South African health and population research capacity is an explicit objective of the MRC/Wits-Agincourt Research Unit.
- c. All projects nested in the MRC/Wits-Agincourt Research Unit research site, should require the Health and Socio-Demographic Surveillance System (HDSS) as a platform to achieve its scientific objectives or the existence of the HDSS should facilitate the achievement of these objectives.
- d. Data gathered during the course of a research project shall be the joint property of all participants in the particular project team work. Prior to the commencement of the project an agreement should be made on the process by which the data will be collected, cleaned and shared amongst the Principal Investigators (PIs). A publication strategy should be agreed with PIs taking responsibility for delivering the various study papers and reports.
- e. PIs are required to provide the Unit with a copy of the final cleaned study database at the end of the study. An agreement shall be reached about where and for how long the study materials (questionnaires etc.) should be archived. Any access restrictions related to the final study data should be agreed upon before the study commences. This will include identifying who will be responsible for requests to access the study data. The MRC/Wits-Agincourt Research Unit and the University of the Witwatersrand, in partnership with local communities and health services, are the prime stakeholders of research activities in the Agincourt research site.
- f. The MRC/Wits-Agincourt Unit, in partnership with the University of the Witwatersrand, is the primary organising entity for any research conducted in the Agincourt HDSS. The Unit receives institutional support from the School of Public Health, Faculty of Health Sciences and the University of the Witwatersrand..
- g. Research undertaken in partnership with the MRC/Wits-Agincourt Research Unit must be planned by an appropriately constituted scientific team; each primary research project should include at least one South African-based researcher, usually attached to the University of the Witwatersrand.

- h. Research with a fieldwork component must have a Project Site Manager (PSM) based on-site in the Bushbuckridge district for the duration of the fieldwork, supported by and accountable to, the Theme Officer. If there is no Theme Officer, the PSM is accountable to the Research Manager and supported by the Operations Officer (designations described below).

3. Unit organisation and management

The MRC/Wits-Agincourt Research Unit is directed by Prof Stephen Tollman and based within the University's School of Public Health. The Unit is managed by a core scientific team¹, which is led by Stephen Tollman, Kathleen Kahn, Sam Clark and Michel Garenne and includes the Theme Leaders (see *Table 1* below).

a. Scientific organisation

This core scientific team is responsible for generating and reporting on core funds for the MRC/Wits-Agincourt Research Unit including the HDSS, ensuring the highest scientific and ethical standard of work emanating from the site, managing the interests of collaborating research partners, promoting interactions between project teams, stimulating additional research, and supporting efforts to generate research project grants. This core scientific team also carries final responsibility for maintaining mutually productive relationships with study communities, strengthening relationships with district, regional, provincial and national health authorities, enhancing the Unit's regional and international standing, and promoting the profile of the MRC/Wits-Agincourt Research Unit both nationally and internationally. The core scientific team is supported by an International Scientific Advisory Group² (ISAB) which meets annually.

b. Operational organisation

The Directorate of the Unit consists of the Director, Stephen Tollman and Senior Scientific staff: F. Xavier Gómez-Olivé, Mark Collinson and Kathleen Kahn. The Research Office team,³ consisting of F. Xavier Gómez-Olivé, Ngoni Ngwarai, Floidy Wafawanaka, Rhian Twine, Jeffrey Tibane, Ryan Wagner and Chodziwadziwa Kabudula, is responsible for balancing the needs of different research efforts including timing of fieldwork, selection of fieldworkers, and use of equipment and resources. This team meets weekly in Acornhoek, and is guarantor of high ethical conduct of all fieldwork, including appropriate community-entry and effective feedback of research findings to study communities and relevant public sector stakeholders. See APPENDIX 1 for a list of core scientific and management staff and their titles.

4. MRC/Wits-Agincourt Research Unit research themes

Research is conducted under one of five main themes, each of which has a Theme Leader. It is essential that potential Principal Investigators approach the Theme Leader early in the development of their research project to ensure that the project aligns well with a particular research theme and that the correct procedures are followed with regard to working with the MRC/Wits-Agincourt Research Unit. Potential collaboration between projects in the theme- and between the other themes in the unit - are maximised.

The Theme Leaders are responsible for the scientific programme of work within each theme. They are supported by Theme Officers based in Acornhoek who assist in the initial implementation phases and monitoring of projects in the field.

¹Tollman, Director; Kahn & Collinson, Senior researchers; Clark, Senior advisor, data systems and analysis, Garenne & Pettifor, Senior scientific advisors; Gómez-Olivé, Research manager

²Names of ISAB members: Shah Ebrahim, LSHTM; Jerry Coovadia, MATCH; Basia Zaba, LSHTM; David Lam, Univ Michigan; Don de Savigny, Swiss Public Health and Tropical Institute

³Gómez-Olivé, Research manager, Head of research; Ngwarai, Head of administration; Wafawanaka, Operations Officer; Twine, Head LINC office; Tibane, Field site manager;; Kabadula, Interim Head Data and IT Section, Senior data scientist; Wagner, Adult Health Theme Officer

Table 1: Theme Leaders

| Research Theme | Theme Leader and contact details |
|---|--|
| Levels, trends and transitions | Sam Clark sam@samclark.net Mark Collinson mark@agincourt.co.za |
| Child and adolescent health and development | Kathleen Kahn Kathleen.Kahn@wits.ac.za Shane Norris san@global.co.za |
| Adult health, ageing and well being | Steve Tollman Stephen.Tollman@wits.ac.za F. Xavier Gómez-Olivé xavier@agincourt.co.za |
| Livelihoods, health and wellbeing | Mark Collinson mark@agincourt.co.za Wayne Twine Wayne.Twine@wits.ac.za |
| Health and social responses | Steve Tollman Stephen.Tollman@wits.ac.za F. Xavier Gómez-Olivé xavier@agincourt.co.za |

5. Relevance of the guidelines to various projects

Two main types of projects exist within the Unit. These are:

- i. Projects involving primary data collection, including small exploratory and pilot studies, observational and interventional studies, and randomized-control trials.
- ii. Projects involving secondary data analysis, including student projects.

Not all of the following sections are relevant to each type of project. Discussion with the Theme Leader and the MRC/Wits-Agincourt Research Unit Research Office will ensure that potential researchers work within the relevant guidelines.

B. GUIDELINES

6. Student supervision and capacity development

a. Postgraduate research students

Supervision and support of postgraduate research students is an increasingly important function of the Unit with respect to building research capacity, contributing to the School of Public Health, the Demography and Population Studies Programme, the university's Populations, Health and Society initiative and other schools/faculties/universities more broadly. Kathleen Kahn is overall head of the Graduate Research Training Programme (GREAT), and is supported by Alisha Wade⁴.

Postgraduate students are nested within research projects in the site. Masters students are generally registered for the MSc Epidemiology and Biostatistics, the MSc Population-based Field Epidemiology, the MA Demography and Population Studies, or the Master of Public Health (MPH), and are required to complete a research report usually based on secondary data analysis. Most students will be registered for either a research masters (which requires some data collection and a more substantial thesis) or a PhD, and the latter are generally required to complete their dissertation by published papers.

The core MRC/Wits-Agincourt Research Unit team provides initial orientation and on-going guidance to the expanding programme of graduate research training that is nested within activities of the Unit. Specific scientific supervision (methodological, analytic etc.) is the

⁴ Alisha Wade, Senior Lecturer, Wits University

responsibility of each student's supervisor(s), usually a researcher with active work underway in the Agincourt research site. Where the supervisor is not from the University of the Witwatersrand, a Wits staff member needs to co-supervise and, where appropriate, may function largely in an administrative capacity. Allocation of students and selection of topics must be arranged in consultation with a project's PI and Theme Leader, and involve direct supervision by the PI or other researcher attached to the project. Project funds can contribute to capacity development through funding support to graduate students, including tuition fees, research operating costs (where these are not covered by existing grants), and a stipend in exchange for a research assistant role.

b. Capacity development of local staff

In line with the Unit's objectives and practice, all projects within the Agincourt Research Unit should find ways to contribute to local staff capacity development. Examples include funding study/courses for staff, paid study leave, running workshops on topics such as proposal writing or writing for publication, and developing computer and managerial skills.

7. Project Entry Protocol

A spreadsheet describing the various stages in undertaking a project is included as APPENDIX 2 of these guidelines. It is essential to read this section in conjunction with sections 8 - 14.

8. Concept approval/protocol development

Once the project concept has been approved by the Unit's Directorate, a detailed protocol must be developed with the support of the MRC/Wits-Agincourt Research Unit's Research Office in order to help anticipate the complexities of the operational aspects of fieldwork and make use of their long term experience in running projects within the Unit. It is essential that the protocol adequately describes the plans for all phases of the proposed project as it will serve to populate the Research Implementation Template of Agincourt (RITA) that will be used as a reference document throughout the duration of the study. Once a final draft is available, the protocol must be reviewed by the Theme Officer and Operations Officer, to look at feasibility and make recommendations that could have implications for timelines and funding. The researcher(s) who developed the protocol will have discretion on the comments received; however, the final version will need to be endorsed by the Agincourt core scientific team and the Research Office prior to submission for funding. This also contributes to building a coherent portfolio of work, well-connected with local priorities and needs, as well as cutting edge science.

9. Grant proposal

Each research team must secure full funding for the project, working closely with the Agincourt Head of Finance to develop the budget and in consultation with the Research Office to ensure the grant and field logistics are realistic. Researchers who prepare a proposal with supporting budget are encouraged to circulate it for comment to other principal and associated researchers prior to submission for funding. An expectation of the MRC/Wits-Agincourt Research Unit is that each budget will have an appropriate charge built in that contributes to the maintenance and strengthening of health and socio-demographic surveillance and associated infrastructure within the site. This is a separate **indirect** line item which would represent a percentage of the budget. The nature and level of contribution should be agreed during preparation of the funding proposal budget and prior to its submission. **Direct** line items must also include use of the Unit's infrastructure including management and administration staff, office space, vehicles, community entry and feedback, aspects of data etc. A mandatory Wits University Cost Recovery charge of 30% across budget must also be included. (This charge may be reduced to 10% provided a strong motivation is submitted well ahead of time to the Universities Cost Recovery finance team for review and consideration.)

10. Ethical clearance

All projects conducting research in the MRC/Wits-Agincourt Research Unit require formal ethical approval prior to commencement of piloting, fieldwork or entry/introduction to the host community. All ethics applications, independent of where they have to be submitted, need consultation/approval of the Directorate prior to submission. When studies are conducted from within South Africa, ethical submissions have to be lodged at the University of the Witwatersrand's Committee for Research on Human Subjects (Medical) and at the Research Ethics Committee of the Mpumalanga Province Department of Health and where appropriate, a letter of clearance from the Department of Education. When studies are conducted from outside South Africa, ethics approval is required from the universities or countries where the studies originated. Copies of all ethics clearance certificates need to be lodged with the Operations Officer.

11. Appointment of Project Site Manager

All research projects require a suitable Project Site Manager (PSM) on-site for a **lead-in period, training** and the **duration of the fieldwork**, often a Post-doctoral student, PhD student or Masters level graduate. The PSM should allow for a lead-in period of at least 2 weeks prior to the commencement of training, in order to allow for adequate community entry, preparation of training materials and notice to staff being employed in the study. The PSM must work with the Research Office on all operational aspects of the study, including accommodation and office requirements, organisation of human resources and management of fieldwork finances.

12. RITA development

Details of fieldwork planning are facilitated through the "RITA" (Research Implementation Template for Agincourt). The PSM/PI should obtain the latest version of the RITA directly from the Operations Officer (see Appendix for contact details). This template details project requirements with regard to resources, staffing, equipment, transport etc., and ensures that the teams in Acornhoek and in Agincourt are well prepared to support the project. It is necessary for all operational aspects of the studies to be run out of the Agincourt/Acornhoek research offices. This includes all logistics concerning fieldwork contracts, working times, remuneration, training etc.

There are standard operating procedures (SOPs) and guidelines to facilitate logistical processes.

List of some of the SOPs and guidelines available:

- Distress and abnormal results
- Reporting of abuse
- HIV testing
- Accidental exposure to blood/bodily fluids
- Fieldwork
- Community entry and exit
- Feedback of research results to local, district and Provincial stakeholders, policy makers and policy implementers
- PSM Handbook

The following sections provide more detail on various important issues included in the RITA.

12.1 Data considerations for projects

Stage 1 - accessing HDSS data for concept paper and protocol development

During the protocol development phase it is often necessary to carry out an analysis of retrospective data from the HDSS in order to inform the design of the study. The nature, extent and costs of access to data for this analysis will follow discussion between the Unit's Scientific team and the project PI(s). Such discussion should occur early in the project development phase

and be included in the project budget. The protocol should include a detailed **Data Management Plan**, with full details about how the data is collected, stored, cleaned and distributed.

Two datasets are made freely available for download from the Agincourt website to assist with this:

- The Agincourt 1 in 10 database is an anonymised sample that includes 10 per cent of the entire Agincourt database (<http://www.agincourt.co.za/index.php/data/data-downloads/1in10-dataset-application/>), useful for preliminary analysis and gaining familiarity with the structure of the MRC/Wits Agincourt Research Unit's data.
- The Agincourt aggregate datasets allow scientists to analyse trends in the data over time. Data on a variety of common demographic indicators such as birth and mortality rates stratified by year, gender and age group are provided on the aggregate data pages (<http://www.agincourt.co.za/index.php/data/data-downloads/aggregate-data/>)

After researchers have carried out the analyses using the tools described above they may wish to request that the Agincourt data scientists carry out a custom data extraction from the full HDSS database. The documentation required for this request and the full details of the procedure are available on the website: <http://www.agincourt.co.za/index.php/data/data-downloads/data-use-policy/>

In addition, the Data Section maintains datasets from various studies that have been nested in the MRC/Wits-Agincourt Research Unit. These may also be useful for formative data analysis. The availability of data varies according to the current status of the projects. If researchers are interested in accessing these datasets they should in the first instance contact the head of the Agincourt Data Section for more details about availability.

Stage 2 - provision of a sample for a study

The yearly census has been extended to cover information on approximately 86,000 people, living in over 16,000 households in 32 research villages. It is the practice of the Unit not to overburden particular households with multiple projects and fieldworker visits.

Once the protocol is finalised a detailed request for a study sample must be provided to the Agincourt Data Section. This must include the sample size, any stratification of the sample and the percentage over-sampling required. This will be compared with the data held in the Agincourt Sample Management Database (ASMDB), which tracks participation in studies. Controlled sampling helps to limit household participation in multiple concurrent studies. This may affect the sampling frame for any study. At this stage we need to ensure there are sufficient individuals in the site available to fulfil the required sample size for the study. If this is confirmed then the sample will be provided. The PI and PSM are responsible for ensuring that the participation status (enrolled, refused, not found, etc.) for each individual or household in the sample is recorded and returned to the Agincourt Data Manager at the end of the enrolment period of the study.

Stage 3 - data entry and storage

If it is required that a data entry system will need to be developed by the Agincourt team, this will have to be fully specified prior to the start of the project in order that adequate time and budget for this is available. Researchers need to be aware that a finalised questionnaire should be made available prior to the start of software development. The questionnaire should be annotated to indicate any coding of values and any restrictions on the permissible values for a particular field. To facilitate the development of a data entry system, a Data Scientist should be involved in the development of the questionnaire to help with format, coding etc., drawing on past experience in the Unit.

If the project is using an externally developed software system this will need to be reviewed and approved by the head of the Unit's Data Section to ensure it is compatible with the Unit's IT infrastructure.

A full costing for data entry staff and data entry supervision needs to be included in the research budget in order to use the Agincourt research site offices to enter data. Supervision of data entry is part of the package offered by the MRC/Wits-Agincourt Research Unit; systems are in place to ensure that only the appropriate personnel have access to data from any research project.

Stage 4 - data cleaning, extraction and analysis

Projects are requested to budget adequate person hours for data cleaning and analysis. Assistance for developing a data cleaning and analysis plan should be sought from the Agincourt data team during the development of the research project, because after the fieldwork has been completed it is very difficult and time consuming to implement the necessary systems and this may delay access to an analytical database.

Following data cleaning, the data generated from the study will need to be extracted from the data entry system in a format suitable for analysis (e.g. stata files). The details for this should be included in the study plan and an adequate provision for data extraction should be included in the project budget.

Stage 5 - Data archiving

The Unit is developing an electronic repository for all research data generated at the research site. Archiving of data from Agincourt-based research is important for several reasons: to maintain a comprehensive record of all data and thereby inform current and future research; to secure an important national and regional resource; to ensure access to data relevant to forthcoming research projects (so as to avoid collection of data already available). Access to data is closely tied to evolving Unit policy on data access; access will respect the primacy of involved researchers and must protect the confidentiality and anonymity of research subjects. Agreements on data archiving and future access to datasets generated in a study should be in place before the start of the project.

In addition, the plans for archiving any paper forms should be included in the study plan. These should include the location of the archive, any arrangements for access to the data and the length of time that the paper archive should be preserved.

The Unit is in the process of scanning all paper records in our current archive and producing an electronic document archive. This has many advantages, including the long term preservation of the primary data and a greater ease of access to the forms by the researchers. In order to use this electronic document archive, the Data Scientist will produce unique barcodes for individual questionnaires that will be printed with the form. This barcode will be used later on to access a particular form within the electronic archive. Researchers are recommended to adopt this approach and to build the scanning costs into their project budgets.

12.2 Community entry

Formal announcement must be made to community members prior to commencement of any research activity in the Agincourt research site. This includes activities that involve piloting and/or needs assessments. The community entry aspect of all research projects is coordinated through the LINC (Learning, Information Dissemination & Networking with Community) Office – the arm of the Unit responsible for community relationships. Different projects will require different levels of community entry. The RITA includes a section that queries which type of community entry is required. The LINC Office will guide researchers to choose the most appropriate option. It is essential that the LINC Office assist all projects with planning and conducting appropriate community entry.

12.3 RITA meeting

The completed RITA needs to be returned to the Operations Officer, who will set up a RITA meeting with the Research Office, appropriate members of the Directorate, the PI and PSM at an appropriate time **before** the study starts. This RITA meeting is very useful and ensures that all stakeholders work together to ensure successful completion of research projects. Once the Research Office and the PI/PSM have approved all aspects of fieldwork as per the RITA, the study can commence.

13. Field implementation and field project management

The PSM works with the Field Site Manager/Theme Officer/Operations Officer once the project is running. The Field Site Manager/Theme Officer/Operations Officer reports on project progress once a week to the Research Office. The Field Site Manager will hold monthly meetings to support PSMs, and there is a PSM Handbook available on the website, which references helpful information: <http://www.agincourt.co.za/wp-content/uploads/2013/06/PSM-Handbook-June-27-2013.pdf>

14. Reimbursement of Study Participants

With regards to incentives for study participants involved in research activities, it should be noted that the research setting, being a longitudinal HDSS, implies continuous contact with the communities. The communities take part in research activities as part of this set up and it is a policy of the Unit not to set a precedent regarding incentives for participation in research activities (this has been the case since 1992). The community does not expect reimbursement for participation in study activities aside from any direct costs such as reimbursement of travel costs, and refreshments if the research activity requires the participant to be away from his or her home. Provision of reimbursement in study activities would have implications for the many other on-going studies taking place in the area. This practice also avoids unnecessary conflict and misunderstandings, especially in a poor community with high unemployment – and avoids introducing inappropriate expectations.

Although at times it would appear that the individual is not directly benefitting from their involvement in research activities, there is an overall benefit to the communities within the HDSS. Such benefits include:

- Regular provision of accurate demographic data to community leaders and local service providers for use in development activities;
- Referral and follow-up of particularly vulnerable participants to local service providers;
- Occasional campaigns, for example a partnership with Department of Home Affairs that enabled 8000 community members within the HDSS to apply for South African Identity Documents;
- Regular provision of **information** on University entrance procedures and bursaries to all Grade 12 pupils in the field site;
- Referral to Standard of Care for any conditions, advertently or inadvertently, identified during the course of research. Previous examples include facilitation of distribution of wheelchairs and brain surgery.

Such community level benefits are complemented by the wider-scale benefits resulting from research findings that inform national policy and service provision developments.

15. Exit from field

When a project is ready to exit the field site, the PI/PSM are asked to make an appointment with the LINC Office, Theme Officer, Operations Officer and a data representative for an exit interview. This is to facilitate discussion of issues that may require further attention, and may affect the host community.

The PSM has to provide a Performance Appraisal for each member of staff working on the project on a yearly basis and at the end of the project. This will be used to establish weaknesses and strengths of the staff members, and take necessary action before they are chosen for a new project.

The Unit invests many resources into the community entry and feedback processes and projects are expected to contribute financially to assist with these costs.

16. Dissemination of findings to non-scientific audiences

The MRC/Wits-Agincourt Research Unit has an established process of communicating research results to study communities. This includes well-prepared feedback and discussion of findings at annual village feedback meetings, and regular production of village 'fact sheets' to support local development initiatives. At a minimum, project findings need to be incorporated into this process but may require additional or alternative methods of dissemination. Given its relationship with local and provincial health services since 1992, the MRC/Wits-Agincourt Research Unit, , has both a current and historical understanding of the rural public sector environment. Project information will be requested by the LINC Office for feedback to service providers and government structures from time to time after a project has left the site. It is recommended that a line item be included in the budget to allow the PSM or PI time to work on such fact sheets, run a workshop or attend a meeting organised by the LINC Office with District and Provincial policy makers and implementers following the publication of the first research paper.

17. MRC/Wits-Agincourt Research Unit publications policy

Projects utilise the Agincourt HDSS and database to varying extents – from utilising this resource as a sampling frame at individual, household, or village level, to incorporating data into project analyses. Collaborators, who come from a range of institutional bases and disciplinary backgrounds, participate to varying degrees and in different ways in specific research projects. Authorship 'norms' differ between disciplines: whereas multiple authorship is the norm in the biomedical and public health fields, fewer authors are customary in the social sciences with single authorship common in anthropology. In the biomedical and public health disciplines, multiple authors are usually listed according to their relative contributions to a paper; in other disciplines, however, alphabetical listing may be preferred.

This complexity indicates the need for all PIs to carefully review the Unit's authorship guidelines. In addition, particular research projects are encouraged to draw up more detailed publication guidelines. The intention of the policy is to ensure that contributions to research in the MRC/Wits-Agincourt Research Unit are fairly attributed, that the Unit gains due recognition as a centre of excellence, and that problematic issues are identified and resolved as far as possible prior to initiation of work (and certainly prior to formal publication).

Important consideration for all publications: The MRC/Wits-Agincourt Research Unit work produces small area datasets. Authors are cautioned against presenting work in a way that easily identifies particular communities, especially where this could cause harm. Research involving spatial analysis requires special consideration.

- a. *MRC/Wits-Agincourt Research Unit attribution in published papers/reports*

The core scientific team aims to develop and make the Unit widely known as a centre of research excellence, to promote the Agincourt profile, and to ensure that all journal publications emanating from work in the Unit can be identified by searching an electronic database. All publications should thus cite Agincourt HDSS in the title or abstract or both, and should fully acknowledge the MRC/Wits-Agincourt Research Unit in the paper as follows:

“MRC/Wits Rural Public Health and Health Transitions Research Unit (Agincourt), School of Public Health, Faculty of Health Sciences, University of the Witwatersrand, Johannesburg, South Africa.”

Researchers should be aware of and sensitive to the contributions made by local health services and the community, and should acknowledge these where indicated. Where appropriate, membership of the INDEPTH Network should be noted. Where a specific project wishes to establish its own identity, this should be achieved in balance with the Unit's requirement. Where some form of resolution is required, this will be achieved by negotiation between the project and core management team. Investors in the Agincourt Health and Socio-Demographic Surveillance System (in particular the Wellcome Trust, UK), who have contributed to project research, must be fully acknowledged. The core scientific team can advise further in this respect.

b. Open Access Policy – The Wellcome Trust

The MRC/Wits-Agincourt Research Unit's core activities are currently supported by the Wellcome Trust, UK. All journal publications based on Agincourt longitudinal data or data collected within the Unit must comply with the Wellcome Trust's Open Access Policy:

*“The Wellcome Trust requires electronic copies of any research papers that have been accepted for publication in a peer-reviewed journal, and are supported in whole or in part by Wellcome Trust funding, to be made freely accessible from the PMC database (and any other PMC International (PMCI) sites, such as UKPMC) as soon as possible, and in any event **within six months** of the journal publisher's official date of final publication”*

Editors of journals must be advised upon submission of articles that the article is funded by the Wellcome Trust. All costs associated with compliance with the Wellcome Trust's Open Access Policy will be borne by the MRC/Wits-Agincourt Research Unit. Invoices from publishers should be addressed as follows:

**MRC/Wits Rural Public Health & Health Transitions Research Unit (Agincourt)
School of Public Health Building
University of the Witwatersrand (Education Campus)
27 St Andrews Road
Parktown 2193
South Africa**

VAT #: 4390128942

More information for authors can be found on: <http://www.wellcome.ac.uk/about-us/policy/spotlight-issues/Open-access/Guides/wtd018855.htm>

c. Authorship

Researchers are encouraged to keep abreast of debates on contributorship versus authorship, statements of conflict of interest, etc. In most cases multiple authorship is anticipated. In general, each author needs to have participated in key aspects of the project such as study design, data collection, statistical analysis, writing the first draft, extensive editing of drafts and generating research monies. In principle, the international guidelines for authorship should be

followed (http://www.icmje.org/ethical_1author.html). Arbitration, if needed, will be undertaken by the Unit Director, Stephen Tollman, in consultation with affected individuals. Given that work in the Unit is based on research collaborations, it is expected that there be a South Africa/Unit based author on most papers. It is recommended that agreement on named authors be reached well before the paper is written. Where single authorship is sought, the researcher should raise his/her need with Stephen Tollman or a delegate, well in advance of preparing the publication. While the right to publish is fully respected, it is protocol that as part of the publication process, a near-final draft is circulated to Stephen Tollman and the Theme Leader. This is to ensure that Unit leadership is fully informed of publications in progress, and that any problematic issues be identified and resolved prior to initial submission of a paper. A response should reach the authors within fifteen days to avoid a delay in the publication process.

d. Authorship expectations in different project scenarios

All research conducted within the MRC/Wits-Agincourt Research Unit research site benefits from investments that have been made in the site since the Unit's inception in 1992. These include the research infrastructure, the experience of the field team and the existence of established relationships with study communities and local and provincial health services. Longitudinal data from on-going health and demographic surveillance is utilised, to varying extents and in different ways, by all projects that fall within the Unit. It is expected that the Theme Leader/Theme Officer and other Agincourt scientists interested in the project should be actively involved from its inception to publication.

Below are current authorship guidelines for a range of project scenarios:

- i. Paper incorporates Agincourt HDSS longitudinal data into analyses:*
Authorship should include members of the project team and scientific members of the Agincourt research team and should align with the international guidelines for authorship mentioned above.
- ii. Paper based on survey or qualitative data generated by the project team alone, Agincourt HDSS longitudinal database used as sampling frame, contributions from Agincourt research team to project study design, financing etc:*
Authorship should include members of the project team and contributing member(s) of the MRC/Wits-Agincourt Research Unit's research team.
- iii. Paper based solely on survey or qualitative data generated by the project team alone; no direct scientific input from the MRC/Wits-Agincourt Research Unit's research team:*
Authorship may include the project researchers alone with clear acknowledgement of the MRC/Wits-Agincourt Research Unit's research team members as appropriate (such scenarios are rare).

Before authorship decisions are finalised, prior discussion and consideration of the extent and nature of MRC/Wits-Agincourt Research Unit's staff contributions will be required. Project PIs are important to this process, which aims to ensure appropriate recognition of the Unit's scientists and staff.

e. Abstracts, conference presentations, conference papers

Similar authorship guidelines apply to conference presentations and papers. However, where sole (or restricted) authorship will benefit the presenting author(s), this will be considered sympathetically by the Directorate. In the case of presentations, however, clear acknowledgment of the MRC/Wits-Agincourt Research Unit is expected. Authorship of a conference abstract/presentation may need to change if later worked up to a full journal article.

f. Informing the MRC/Wits-Agincourt Research Unit of publications and presentations

First authors are requested to ensure that the MRC/Wits-Agincourt Research Unit is informed of all papers emanating from work in the site, including submitted papers, papers in press, and publications. The Unit should be sent a copy of submitted papers (labelled draft, not for circulation or quotation), as well as a copy of the final published version. The Unit should also be informed of formal presentations given at conferences or other meetings. In this way, the MRC/Wits-Agincourt Research Unit will be able to maintain a complete record of published output. This is important to keep abreast of findings and make them available to share with other researchers and their teams, for funder and university reviews, and for referencing purposes. In addition, the Unit posts publications on its website.

Information on publications and presentations, including copies of papers, should be emailed to the Unit's Publications Officer at the Health and Population Division, School of Public Health, Dawn Dalby dawn.dalby@wits.ac.za, or mailed to:

MRC/Wits Rural Public Health & Health Transitions Research Unit (Agincourt)
Attention: Dawn Dalby
School of Public Health Building
University of the Witwatersrand (Education Campus),
27 St Andrews Road,
Parktown 2193
South Africa

APPENDIX 1: Staff

Research, scientific and technical staff members within the entity

| RESEARCH, SCIENTIFIC, TECHNICAL STAFF | | | | |
|---------------------------------------|---|-------------------------|--|------------------------------|
| Name | Position | Base | Email | Phone |
| Stephen Tollman | Unit Director | Johannesburg | Stephen.Tollman@wits.ac.za | 011 717 2083 082 906 6830 |
| Kathleen Kahn | Associate Professor; Senior Scientist | Johannesburg | Kathleen.Kahn@wits.ac.za | 011 717 2617 082 417 7373 |
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| Xavier Gómez-Olivé | Field Research Manager | Acornhoek/ Agincourt | xavier@agincourt.co.za | 076 378 8255 |
| Floidy Wafawanaka | Operations Officer | Acornhoek | floidy.wafawanaka@agincourt.co.za | 071 299 3250 |
| Chodziwadziwa Kabudula | Senior Data Scientist, acting Data and IT Section Manager | Acornhoek/ Agincourt | cho@agincourt.co.za | 071 372 4407 |
| Sulaimon Afolabi | Data specialist | Acornhoek | afolabi@agincourt.co.za | 072 171 8311 |
| Rhian Twine | LINC Coordinator | Acornhoek/ Agincourt | rhian@agincourt.co.za | 083 279 7573 |

Management, data and administrative staff members

| SENIOR and MID-LEVEL RESEARCH MANAGEMENT | | | | |
|--|---|-------------------------|--|------------------------------|
| Name | Role | Base | Email | Phone |
| Ngoni Ngwarai | Senior Administrator, Head of Administration | Acornhoek/ Agincourt | ngoni.ngwarai@agincourt.co.za | 076 358 5739 |
| Bernard Silaule | Census Project Site Manager | Agincourt | bernard.silaule@agincourt.co.za | 013 708 1420 082 353 8629 |
| Ryan Wagner | Theme Officer Adult Health | Acornhoek/ Agincourt | ryan@agincourt.co.za | 071 586 0906 |
| Jeffrey Tibane | Site Manager & Sen Community Liaison Officer (LINC) | Agincourt | jeffrey@agincourt.co.za | 013 708 0003 083 533 2414 |
| ADMINISTRATIVE STAFF | | | | |
| Name | Role | Base | Email | Phone |
| Sadiya Ooni | Senior Finance Officer | Johannesburg | Sadiya.Ooni@wits.ac.za | 011 717 2760 082 496 2975 |
| Dawn Dalby | PA to the Directorate | Johannesburg | Dawn.Dalby@wits.ac.za | 011 717 2085 |
| Wendy Pearsall | HR & Post-graduate Student Administrator | Johannesburg | Wendy.Pearsall@wits.ac.za | 011 717 2714 082 855 0644 |
| Audrey Khosa | LINC Officer | Agincourt | audrey@agincourt.co.za | 013 708 0003 083 581 7613 |
| Simon Khoza | Supervisor (LINC) | Agincourt | simon.khosa@agincourt.co.za | 013 708 0003 083 334 7172 |
| Melita Buthelezi | Secretary /Procurement Officer | Johannesburg | Melita.Buthelezi@wits.ac.za | 011 717 2606 076 440 9435 |
| Doreen Nkuna | HR Officer | Acornhoek | tinyiko@agincourt.co.za | 073 206 3847 |

| | | | | |
|---------------------------|---|-------------------------|--|--------------|
| Violet Chela | Finance Clerk | Acornhoek | violet@agincourt.co.za | 083 530 3011 |
| Mahlatse Mathaba | Administrator (SwaKoteka Study) | Acornhoek/ Agincourt | mahlatse.mataba@agincourt.co.za | 073 953 3250 |
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| Edward Malamule | Office Administrator (SwaKoteka Study) | Acornhoek/ Agincourt | edward.malamule@agincourt.co.za | |
| Obed Nxumalo | Fleet Officer | Acornhoek/ Agincourt | | 082 228 2347 |
| DATA SYSTEMS STAFF | | | | |
| Name | Role | | | |
| Itayi Adam | Systems Administrator | Acornhoek/ Agincourt | itayi.adam@agincourt.co.za | 071 181 6633 |
| Pleasure Ngobeni | Junior Data Specialist | Acornhoek/ Agincourt | pleasure.ngobeni@agincourt.co.za | 082 225 6477 |

APPENDIX 2: Guiding documents at stages of research process (project and data)



MRC/Wits-Agincourt Unit Primary Data Research Project Entry Protocol

The following 7 stages need to be completed for successful completion of primary research projects in the Agincourt HDSS

The end of stage documentation is a prerequisite for the next stage



| # | STAGE | RESPONSIBILITY | AGINCOURT PRIMARY CONTACT | PRINCIPLE OFFICE (S) | INVOLVED PERSONS | PI EXPECTATIONS FROM AGINCOURT UNIT | OUTPUTS | END STAGE DOCUMENTATION |
|---|------------------------------------|----------------|---|--------------------------------|---|--|---|---|
| 1 | Concept approval | PI | Director | Directorate | Director/Senior Researcher Research Manager Theme Leader | Access to the Agincourt platform - staff, data, community & links to public sector | Concept paper Allocation to theme | Directorate approval Acknowledgement of understanding |
| 2 | Development of protocol | PI | Director/Senior Researcher Theme Leader Research Manager Head data section | Directorate Research Office | PI/ Senior researcher Theme Leader Research Manager Head data scientist Theme Officer Operations Officer | Guidance on realistic fieldwork plans, realistic budget, maximizing HDSS platform, cross and intra theme collaboration possibilities | Protocol Feasibility of data request | Protocol |
| 3 | Grant proposal | PI | Theme Leader Finance Manager | Research Office | PI/Theme Leader Finance Manager Theme Officer Head data scientist Operations Officer | Grant writing support | Draft RITA Budget approved by Finance Manager & Theme Leader Discuss RITA draft with PI Realistic fieldwork plan Grant proposal | Award letter |
| 4 | RITA development | PI PSM | Theme Officer Operations Officer | Research Office | Theme Officer Operations Officer Head data scientist LINC Finance Manager | Support with development of an optimal implementation plan Mpumalanga ethics application supported by Core Management Team / Wits ethics application supported by Directorate Data section reviews data needs Facilitation of access to the community Financial administration of the project and report writing | Final RITA Ethics approval Sample selection Community engagement Project creation on Oracle | Final RITA approved by Research & Finance managers Wits / Mpumalanga ethics approval LINC community entry report Operations/Field budget |
| 5 | Field implementation | PI/PSM | Theme Officer Operations Officer | Research Office | Operations Officer/ Administration Head data scientist Field Site Manager PSM | Theme Officer/Operations Officer manages implementation and mentors PSM to take over HDS oversees data processing Office Smooth field operations and problem solving | Established project | Confirmation by Theme Officer of project implementation |
| 6 | Field project management (ongoing) | PI/PSM | Theme officer | Research Office | Theme Officer Operations Officer Data scientist | Theme officer mentors project & provides feedback to the Research Office Operations Officer mentors project & provides feedback to the Research Office ensure adequate data processing: input, storage and back-up | Field data collection Raw data (computerized) | |
| 7 | Analysis and write up | PI | Theme Leader | Directorate | Theme Leader/Officer | Support by Theme Leader & Directorate | Publication/Policy brief/Community Feedback Sheet | Feedback questionnaire completed by PI/PSM & Theme Leader/Officer |



MRC/Wits-Agincourt Unit Secondary Data Analysis Project Entry Protocol

The following 8 stages need to be completed for successful completion of secondary data analysis projects in the Agincourt HDSS
The end of stage documentation is a pre-requisite for the next stage.



| # | STAGE | RESPONSIBILITY | AGINCOURT PRIMARY CONTACT | PRINCIPLE OFFICE (S) | INVOLVED PERSONS | PI EXPECTATIONS FROM AGINCOURT TEAM | OUTPUTS | END STAGE DOCUMENTATION |
|---|---------------------------------------|--|---------------------------|---|--|---|--|--|
| 1 | Concept paper development | PI | Theme Leader | Directorate Data Section | Theme leader Head data scientist | Access to the Agincourt platform - staff, data, community & links to public sector Feasibility Assessment | Concept paper Refined concept paper Allocation to theme | Directorate approval Acknowledgement of understanding |
| 2 | Data request for protocol development | PI | Theme Leader | Data Section Finance Office Directorate | Head data scientist Finance manager Theme leader | Grant writing support | Data request Budget | Signed data agreement Award letter / Funding |
| 3 | Development of data management plan | PI | Theme Leader | Data Section | Head data scientist | Support for plan development | Data Management Plan - Includes all details about how data is to be collected, stored, cleaned and distributed | Signed plan |
| 4 | Development of data collection system | PI | Theme Leader | Data Section Finance Office | Head data scientist Finance manager | Scenario 1 : Agincourt team to develop data collection system - Full requirements needed from PI . Data /Finance will produce estimated budget . If agreed system will be developed by Agincourt. Scenario 2: Project to be use own or 3rd part data system. Agincourt Head Scientist will approve the system for use. | Data System - Budget section for overall project budget if applicable | Database system with documentation of UAT. |
| 5 | Study Sample Provision | PI | Theme leader | Data Section | Head data scientist/Data specialist | Data section to provide listing of individuals eligible for the study including agreed replacement sample | Study Sample Populated forms if applicable | Sampling outcomes for all individuals returned to data section |
| 6 | Data Entry and Storage | PI: delegates responsibility to the Agincourt Data Section | Head data scientist | Data Section | Head data scientist/Data specialist | Oversight and management of on-site data team if used. Regular reviews and progress reports provided to PI | Data entry progress reports | Final data entry report |
| 7 | Data cleaning and extraction | PI: delegates responsibility to the Agincourt Data Section | Head Data Scientist | Data Section | Head data scientist/Data specialist | Raw data set created (data cleaning is a project responsibility) | Data sets created | Receipt of data set |
| 8 | Data Archiving | PI: delegates responsibility to the Agincourt Data Section | Head Data Scientist | Data Section | Head data scientist/Data specialist | Final data set archived to Agincourt data warehouse and external repository if appropriate with full documentation | Archived Data Set | Notifcation of archiving sent to PI |