



Hamilton

CITY OF HAMILTON

**Public Health Services
Planning and Business Improvement**

TO: Mayor and Members Board of Health	WARD(S) AFFECTED: CITY WIDE
COMMITTEE DATE: December 3, 2012	
SUBJECT/REPORT NO: Research and Evidence-Based Planning and Decision Making (BOH12036) (City Wide)	
SUBMITTED BY: Elizabeth Richardson, MD, MHSc, FRCPC Medical Officer of Health Public Health Services Department	PREPARED BY: Dr. Julie Emili (905) 546-2424, Ext. 4845
SIGNATURE:	Teresa Bendo (905) 546-2424, Ext. 7999

RECOMMENDATION

That the policies regarding Public Health Services research and ethical review of research and evaluation projects as described in Appendix A and B attached to Report BOH12036 be approved.

EXECUTIVE SUMMARY

Public Health Services (PHS) is committed to evidence-based practice improving both the efficiency and effectiveness of departmental programs and services through the integration of research and evaluation. Program staff are encouraged to engage in scientific inquiry regarding existing practices and program initiatives. There is recognition that staff have varying levels of expertise in conducting research and evaluation projects. PHS support staff learning through experience and collaboration.

Appendix B to Report
BOH12035

In order to focus resources on issues that are priorities within Hamilton and with partners that have proven research capability, PHS is taking a more strategic approach to research activities within the department, investing in fewer partnerships that are more collaborative and aligned with the City's strategic directions. The partnerships selected will also increase the staff capacity around research and be more likely to result in services that are responsive to local issues and concerns.

PHS proposes to adopt the following principles regarding formal research being done by PHS staff and/or in collaboration with others:

- PHS will collaborate with key partners on research projects (to be defined as below); and
- PHS will act as the primary researcher only in circumstances where there is appropriate expertise and resources to carry out the project, the project will add value to the organization's programs and services, and the activity is in keeping with individual workplans and/or learning and development plans.

The following criteria would be used when considering research requests:

- Being consistent with PHS mandate and priorities;
- Informing PHS programming;
- Relating to identified community need;
- Having the capacity and resources available to participate; and
- Requesting comes from a capable partner.

The following process would be used when determining research priorities at the departmental and divisional level:

- Research priorities at both levels should align with the Departmental Business Plan (DBP) and the Corporate Strategic Plan.
- Any research question or issue that arises outside of the annual DBP planning process should be pursued based on the research criteria outlined above.
- Any current research projects that do not fit with any of the processes above should be completed within a reasonable timeframe, but not expanded.
- Evaluation should be considered as part of the approval process for research activities.

The annual research report produced by the Applied Research and Evaluation team will serve as a research inventory of all research activities in PHS and as a reporting mechanism on the outcomes of these activities.

PHS will take a more strategic approach to research activities and engage with key research groups to ensure that partners are aware of the process by which PHS decides research activities including the approved principles, criteria and priorities. Key

partners will include Public Health Ontario and McMaster University. Additional research partnerships will be developed at the Divisional level for groups/issues that are more division specific. Any research projects done with groups other than the key partners would align with research criteria and principles.

Alternatives for Consideration – Not applicable

FINANCIAL / STAFFING / LEGAL IMPLICATIONS (for Recommendation(s) only)

Financial: There are no financial implications related to approving this policy.

Staffing: This policy will ensure that staff time spent on research will support the priorities of PHS.

Legal: There are no legal implications related to approving this policy.

HISTORICAL BACKGROUND (Chronology of events)

In 2000, a research policy was developed and approved by Council as a requirement by the Ontario Council on Community Health Accreditation (OCCHA); our accreditation body, and in order to maintain designation as a Public Health Research, Education and Development (PHRED) health unit. The OCCHA standard stated that “the governing body (Board of Health) shall approve a written policy on research/evaluation activities, including requirements for methodological and ethical review. Subsequently, the policy was updated and approved again in 2005 by City Council.

In 2009, the OCCHA standards were updated to reflect the new Ontario Public Health Standards (OPHS), and although the PHRED Program no longer exists, the OCCHA standard requiring the approval of a policy on research/evaluation by the BOH is still in place.

POLICY IMPLICATIONS

Approval of this recommendation will ensure a research policy is in place for PHS as required by OCCHA, and that it complies with the requirements for public health research outlined in the Ontario Public Health Standards.

RELEVANT CONSULTATION

Consultation has occurred with all divisions in PHS. Feedback provided has been incorporated into the proposed policy.

ANALYSIS / RATIONALE FOR RECOMMENDATION

(include Performance Measurement/Benchmarking Data, if applicable)

Currently, research partnerships are ones of opportunity and driven by researchers' interest. Historically, PHS has not had a research policy approved by the Board of Health. In exploring the need for a policy, it was identified that, despite PHS participating in many research projects annually and in order to improve and focus resources, staff need to:

- Have a consistent and clear process and criteria to review potential projects;
- Identify research priorities to participate in;
- Seek out partnerships based on those priorities; and
- Identify priority research partners and develop agreements with those partners.

ALTERNATIVES FOR CONSIDERATION

(include Financial, Staffing, Legal and Policy Implications and pros and cons for each alternative)

No alternatives are presented for consideration.

CORPORATE STRATEGIC PLAN (Linkage to Desired End Results)

Focus Areas: 1. Skilled, Innovative and Respectful Organization, 2. Financial Sustainability, 3. Intergovernmental Relationships, 4. Growing Our Economy, 5. Social Development, 6. Environmental Stewardship, 7. Healthy Community

Skilled, Innovative & Respectful Organization

- ♦ A culture of excellence- This initiative will ensure our programs and services are evidence based and locally responsive. Strategic partnerships will increase PHS capacity to undertake research activities and staff competencies.

APPENDICES / SCHEDULES

Appendix A – PHS P&P – Registering Research & Evaluation Projects

Appendix B – PHS P&P – Ethical Review of Research & Evaluation Projects

Public Health Services Policy and Procedure Manual

Chapter	07	Research and Education	07-04
Section	00		
Subject	04	Registering Research and Evaluation Projects	
Signature	_____		<u>XXXX-XX-XX</u>
Approved by:	Board of Health		Date

Intent

Public Health Services (PHS) is committed to evidence based practice and the efficiency and effectiveness of departmental programs and services through the integration of research and evaluation. The intent of this policy is to outline the responsibilities of PHS staff when conducting research.

Policy

The Board of Health has a responsibility to assure the methodological and ethical quality of research and evaluation projects conducted at PHS by ensuring compliance with the ethical standards as defined in the Tri-Council Policy Statement: Ethical Conduct for Research Involving Humans (CIRH, NSERC and SSHRC, 2010). All research/evaluation projects will be documented and registered in an accurate and consistent manner to facilitate communication and collaboration on projects and to prevent duplication of research/evaluation activities between PHS Divisions and amongst researchers and practitioners in Hamilton, Ontario, and Canada.

PHS has adopted the following principles regarding formal research being done by PHS:

- PHS will collaborate with key partners on research projects (to be defined as below).
- PHS will act as the primary researcher only in circumstances where there is appropriate expertise and resources to carry out the project, the project will add value to the organization's programs and services, and the activity is in keeping with individual workplans and learning and development plans.

The following criteria will be used when considering research requests:

- consistent with PHS mandate and priorities;
- will inform PHS programming;
- related to identified community need;
- PHS has capacity and resources to participate; and

- request comes from a capable partner.

Procedure

The following process will be used when determining research priorities at the departmental and divisional level.

- Research priorities at both levels should align with the Departmental Business Plan (DBP) and the Corporate Strategic Plan.
- Any research question or issue that arises outside of the annual DBP planning process should be pursued based on the research criteria that is outlined above
- Any current research projects that do not fit with any of the processes above should be completed within a reasonable timeframe but not expanded.
- Evaluation should be considered as part of the approval process for research activities.

The annual Research Report produced by the Applied Research and Evaluation team will serve as a research inventory of all research activities in PHS and as a reporting mechanism on the outcomes of the projects.

Approval for internal research activities and projects include those projects led/conducted by PHS Program staff or students. Internally funded projects are required to complete a Research Project Charter Template Form (Attachment A). Approval for external research includes those projects where PHS clients or staff are being studied. Externally funded projects are required to complete a Research Project Review & Registration (RPRR) Form (Attachment B).

Research activities that must be registered include internally and externally funded projects as well as those that access study participants from PHS, but do not include those projects where data collection is part of routine program delivery.

Board of Health

Through PHS staff:

- Foster collaboration with McMaster University and other academic institutions in order to promote partnerships in research and evaluation activities.

Researcher

- Communicates research intent to relevant PHS division/program
- Completes Parts I & II of Research Project Review and Registration form (RPRR) and Application for Review by Research Ethics Board (if Researcher has not already complied with Research Ethics Board Guidelines)

- Submits RPRR to relevant Divisional Director and Associate Medical Officer of Health for initial review and approval
- Provides notification of completion of research project to the Divisional Director and Associate Medical Officer of Health

- Approves proposed project
 - Completes Sections III - IV of RPRR

Divisional Director and Associate Medical Officer of Health

Definitions

Program Evaluation: is defined as “the systematic gathering, analysis, and reporting of data about a program to assist in decision-making.” (Ontario Public Health Standards, 2008)

Program Monitoring: “The collection of information on indicators on how well programs perform, particularly with regard to the delivery of services (outputs) and the achievement of results (outcomes) (Rossi et al., 1999). Program monitoring...is also referred to as ‘performance measurement’ or ‘results-based management’.” (Aubry, Flynn, & Ready, 2003).

Research: is “the organized and purposeful collection, analysis, and interpretation of data.” (Ontario Public Health Standards, 2008)

Situational Assessment: “Influences planning by examining the legal/political environment, stakeholders, population health needs, past literature, previous evaluations, and the vision for the project.” (The Health Communications Network, 2008)

References

Canadian Institutes of Health Research, Natural Sciences and Engineering Research Council of Canada, and the Social Sciences and Humanities Research Council of Canada, *Tri-Council Policy Statement: Ethical Conduct for Research Involving Humans*, December 2010. Available at: http://www.ethics.gc.ca/pdf/eng/tcps2/TCPS_2_FINAL_Web.pdf

Personal Health Information Protection Act, 2004 S. O. 2004, c.3, Sched. A, available at: http://www.e-laws.gov.on.ca/DBLaws/Statutes/English/04p03_e.htm

Resources

Attachment 07-04A

- Research Project Charter Template

Attachment 07-04B

- Research Project Review and Registration

History

07-04 Teaching Health Unit/PHRED Program - Registering Research & Evaluation Projects approved by Council 2000-10-03

07-04 Teaching Health Unit/PHRED Program - Registering Research & Evaluation Projects changed to 07 04 Program Policy & Planning Division – Registering Research & Evaluation Projects and revised by Jane Soldera, Director, Program Policy & Planning Division 2005-02-11.

Approved by DMT 2005-02-14 and approved by City Council 2005-03-23.

07 04 Program Policy & Planning Division – Registering Research & Evaluation Projects changed to 07-04 Registering Research & Evaluation Projects 2007-09-13; approved by Teresa Bendo, Director Planning & Continuous Improvement 2008-01-25.

07-04 Registering Research and Evaluation Projects updated by ??? November 2012; approved by Board of Health 2012-xx-xx.

Public Health Services Policy and Procedure Manual

Chapter	07	P&CI: Applied Research & Evaluation	07-03
Section	00		
Subject	03	Ethical Review of Research and Evaluation Projects	
Signature	_____		<u>XXXX-XX-XX</u>
Approved by:	Board of Health		Date

Intent

Hamilton Public Health Services (PHS) intends to carry out ethically sound research and evaluation projects in accordance with the relevant provisions of the Personal Health Information Protection Act, 2004, S.O. 2004, c.3.

This Policy and Procedure applies to research and evaluation projects that have been registered in accordance with Departmental Policy and Procedure 07-04- Registering Research and Evaluation Projects.

Policy

PHS recognizes that protecting the privacy of personal health information is an essential part of our commitment to quality service, programs and care. PHS will collect, use and disclose the personal health information of clients responsibly and in compliance with all applicable laws.

Ethical issues are considered and addressed before approval of Departmental research projects.

The collection and/or disclosure of personal health information for research and evaluation purposes/plans is carried out in accordance with the requirements of the Personal Health Information Protection Act, 2004, S.O. 2004, c.3.

The requirements for research plans are set out in the Act and include the nature and objectives of the research and the public or scientific benefit of the research. Personal health information may be disclosed to a researcher if a research ethics board has approved the researcher's research plan.

PHS complies with the ethical standards as set out by Hamilton Health Sciences/McMaster Faculty of Health Sciences Research Ethics Board and the University of Guelph Research Ethics Board as supported by the Tri-Council Policy Statement: Ethical Conduct for Research Involving Humans (Medical Research Council of Canada, 2003) which guides the use of human participants in research by Canadian institutions (Attachment A).

PHS accepts the mandate of the McMaster University and the University of Guelph Research Ethics Boards (REB) in their role to safeguard the rights, safety and well-being of all research participants. The REB's review and approve research projects that meet acceptable ethical and scientific standards and for which adequate facilities and resources are available. PHS also accepts that the REB's provide advice on the ethical, scientific and technical aspects of planning research projects.

All research projects carried out at PHS require ethics approval by a Research Ethics Board affiliated with a university or hospital institution.

Those researchers associated with McMaster University require approval from the Research Ethics Board (REB) at Hamilton Health Sciences/McMaster Faculty of Health Sciences. Those researchers associated with the University of Guelph require the approval from the University of Guelph Ethics Review Board. At the University of Guelph, low/minimal risk submissions can request an expedited ethical review process.

Procedure Researcher

- Complies with Guidelines from the particular REB.
- For McMaster affiliated researchers - Submission of Research Projects Form (Attachment B) directs the completion and submission of the Application for Review by the Research Ethics Board at McMaster (Attachment C). Project revisions for approval to REB are completed using Research Ethics Board Amendment Request (Attachment C)
- For University of Guelph researchers- Submission of Research Projects Form (Attachment D) directs the completion and submission of the Application for Review by Research Ethics Board at Guelph (Attachment E).
- Provides REB with an annual review of project status if the project exceeds 1 year in duration.
- Collaborates with PHS program staff as needed to facilitate the submission of the Application for Review by Research Ethics Board.

Definitions

Personal Health information (PHI) means any form of information regarding an individual's physical or mental health. PHI records may include family health history, health numbers, the identity of a substitute decision maker, any documentation concerning the provision of health care, long term care service plans, payments or eligibility for health care, and tissue donations. PHI may be oral or recorded. Identifying information does not necessarily name the individual, but has the foreseeable potential to be utilized alone or with additional information to identify an individual.

Research: is "the organized and purposeful collection, analysis, and interpretation of data." (Ontario Public Health Standards, 2008)
Research activities that must be registered with PHSMT include internally and externally funded projects as well as those that access study participants from PHS, but do not include those projects where data collection is a part of routine program delivery.

Researcher is a person who conducts research.

Research Ethics Board is a board of persons established for the purposes of approving research plans that meets prescribed requirements

References

Departmental P&P

- 03-24 Privacy of Personal Health Information

Departmental P&P

- 07-04 Registering Research & Evaluation Projects

Legislation

- Personal Health Information Protection Act, 2004, S.O. 2004, c.3.
available at:

http://www.e-laws.gov.on.ca/html/statutes/english/elaws_statutes_04p03_e.htm

Resources

Attachment 07- 03A

- Medical Research Council of Canada; Natural Sciences and Engineering Research Council of Canada; and Social Sciences and Humanities Research Council of Canada. (June, 2003). *Tri-Council Policy Statement: Ethical Conduct for Research Involving Humans*. Ottawa, Canada: MRC.

http://pre.ethics.gc.ca/policy-politique/tcps-epc/docs/TCPS%20October%202005_E.pdf

(Also see pdf attached)

<N:\Department Info\Policy & Procedures\2008 PHS Policies & Procedures\7.0 P & CI-Applied Research & Evaluation\07-03 Ethical Review of Research and Evaluation Projects\07-03 A Ethical conduct for Research Involving Humans.pdf>

Please check the following websites to assure that the most current version of the attachments below are used:

McMaster Faculty of Health Sciences Ethics Research Board Website
<http://fhs.mcmaster.ca/healthresearch/reb/index.html>

- Attachment 07- 03 B**
- Hamilton Health Sciences/ McMaster Faculty of Health Sciences, Health Research Services, (October, 2009). *General Research Ethics Application*. Hamilton, Ontario.
<http://fhs.mcmaster.ca/healthresearch/reb/forms.html>
- Attachment 07- 03 C**
- Hamilton Health Sciences/ McMaster Faculty of Health Sciences, Health Research Services, (October, 2009). *Amendment Request*. Hamilton, Ontario.
<http://fhs.mcmaster.ca/healthresearch/reb/forms.html>
- Attachment 07-03 D**
- University of Guelph, Office of Research (January, 2006). *The Application Process Form 3-G-001*
http://www.uoguelph.ca/research/humanParticipants/reb_guidelines.shtml
- Attachment 07-03 E**
- University of Guelph, Office of Research (January, 2006). *Application to Involve Human Subjects in Research*
<http://www.uoguelph.ca/research/forms/documents/Word/Application%20to%20Involve%20Human%20Participants%20in%20Research.doc>

Advice can be received from the Research Ethics Officer at:

McMaster University
Oliver Klimek
klimeko@mcmaster.ca
(905) 525-9140 ext. 22577

Guelph University
Sandy Auld
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History

07-03 Research, Evaluation & Survey Ethics approved 2000-10-03

07-03 Research, Evaluation & Survey Ethics changed to *07-03 Ethical Review of Research and Evaluation Projects* and revised by Jane Soldera, Director, Program, Policy & Planning Division 2005-03-15. Reviewed by Legal Services 2005-05-30. Approved by DMT 2005-06-06

07-03 Ethical Review of Research and Evaluation Projects revised by *Colleen Van Berkel* 2007-01-25; approved by Teresa Bendo, Director Planning & Continuous Improvement, 2007-09-13.