Office of Environment and Community Services
(Adult Support Services)

Office of Children and Young People Services
(Social Care)

CAMBRIDGESHIRE’S RESEARCH GOVERNANCE FRAMEWORK

Application Pack
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Information Fact Sheet for Researchers

Cambridgeshire County Council is keen to promote itself as a learning organisation. One way in which we can further this aim is by encouraging research as a valuable learning tool. However, we also have a duty of care to our service users, their families and carers and also to our staff who might be the subjects of any research. This is what the Approval Process under the RGF is there to do.

If you are thinking of doing research in Social Care for Adults or Children’s Services, this fact sheet will tell you what you need to consider before you start.

It is in everyone's interests to ensure that research is carried out to a high standard. The Council adopts the view that regardless of whether the activity is classified as research or not, if it uses methods appropriate to research, then it should be conducted against the same standards as applied to research. In other words, all research and related activities should be well designed, well conducted and ethically sound.

Generally, our definition of research and its coverage accords with Research Governance Framework for Health and Social Care – Implementation Plan for Social Care (DoH 2004), i.e.: -

“Research is defined as the attempt to derive generalisable new knowledge by addressing clearly defined questions with systematic and rigorous method.”

“It covers all research involving service users, carers, their data or care professionals for whom Directors of Social Services within local Councils have a duty of care, whether this care is provided directly or contracted to other agencies in the statutory or independent sectors.”

However, in the interest of best practice, the definition of Research under our RGF is broader so as to include social care activities that are not traditionally labelled as research, for example, audits, reviews, surveys and consultations carried out in connection with ‘Best Value’ as well as focus groups, evaluations and student research projects. This is especially the case if: -

1) Such activities aim to collect information from service users, carers and staff over and above that routinely collected to plan and deliver a service or for management information.

2) Studies and projects that aim to access existing information held by Council for reasons other than to monitor performance and planning of services.

3) The collection of information involves:-
   ▪ In depth face to face interviews
- Involvement of children (under 18 years old)
- Involvement of anyone unable to give informed or written consent
- Involvement of anyone from minority categories who may be vulnerable e.g. asylum seekers
- Involvement of highly personal or sensitive topic e.g. sexual health history.

What this means to you:

Before starting your research, you should contact the RGF Co-ordinator to discuss what you might want to do. If your research idea seems suitable, you will need to obtain approval and will have to:

- Prepare a Research Proposal, which should cover the areas outlined in the Research Proposal Guide (see Page 9)
- Complete an Application Form for submission to the RGF Co-ordinator (see Page 15)

If you are undertaking research through a university or as part of the Diploma in Management Studies, your tutor or supervisor should be able to provide advice and support in preparing your research proposal.

If you decide to submit a research application, it will need to go through a research approval process. The decision on whether to approve the application is based on a two-tiered system that is related to the risk involved, the vulnerability of the subject group and the skills, experience and expertise of the researcher. (See Page 7)

If your application has addressed all the areas outlined in the research proposal guide and if it does not involve issues of high risk to participants, it can be fast tracked and processed. In this case, the RGF Co-ordinator can give approval within 5 working days. However, if your application is more complex and potentially of higher risk, it will be referred to the RGF Approval Panel and a decision can be given within 10 working days.

Only when approval is given either by the RGF Co-ordinator or the RGF Approval Panel will you be able to commence. Arrangements will then be made for you to access participants or data as necessary. Your research will be logged on the Council’s Research Register for Social Care and will be monitored by the RGF Co-ordinator or a named contact drawn from the RGF Approval Panel.

If you do not receive approval, you will be given reasons and information about how to re-submit or appeal against the decision. For re-submission, you will be given advice on how you might change your proposal to ensure it complies with the RGF’s requirements. For Level 1 Research Proposal re-submission, decision can be given within 3 working days. For Level 2 Research Proposal re-submission, the timescale is within 5 working days.

See Page 13 for the research application process flowchart.

Who to contact to find out more?
The RGF Co-ordinator for Adults Social Care is:-

**Joseph Yow**  
Audit Manager  
Box SS1007  
Castle Court  
Shire Hall  
Cambridge CB3 0AP  
Tel:- 01223 712948  
Email:- [joseph.yow@cambridgeshire.gov.uk](mailto:joseph.yow@cambridgeshire.gov.uk)

The RGF Co-ordinator for Children's Services is:-

**Jill Sheldon**  
Commissioning Manager – Children in Need  
Box SS 1007  
Castle Court  
Shire Hall  
Cambridge CB3 0ap  
Tel:- 01223 717366  
Email :- [jill.sheldon@cambridgeshire.gov.uk](mailto:jill.sheldon@cambridgeshire.gov.uk)
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The Two-Tiered System of Research

In Cambridgeshire, we adopt a two-tiered system to assist us in the screening of research proposals. The allocation of the level is related to the potential risk involved, the vulnerability of the subject group and the skills, experience and expertise of the researcher.

For Level 1 Research proposal, the likelihood of harm to participants is considered to be low because: -

- Informed consent and ability to withdraw from study fully possible.
- Researcher(s) well qualified with experience and knowledge of all three of the following factors – topic of investigation, the participants/subjects and the methods to be used. e.g. formal research training and/or qualification and/or experience and knowledge gained from working in an appropriate environment.
- The topic and kinds of information being sought do not focus on personal information at all e.g. opinions about services received; nor the proposed topic is not deemed to be a sensitive one where distress may be caused to participants.
- The methods are fully appropriate to the subject of the proposed study and to the research questions being asked, there is a demonstrable need for the study and the resources to carry out the study are sufficient.
- There is no face-to-face interaction between researcher and participant.
- The identities of participants are kept confidential and anonymous.

For Level 2 research proposal, the likelihood of harm to participants is considered to be high because: -

- Informed consent & ability to withdraw from study not possible or unlikely due to age of child or incapacity of adult. There may also be communication issues arising from language or literacy issues, sensory or speech impairments.
- Researcher(s) not well qualified with little or no experience or knowledge of either the topic of investigation, the participants or the methods to be used.
Researcher working directly with service users or with case identifiable data has no CRB clearance.

- The topic and kinds of information being sought are likely to be regarded as highly personal or sensitive by those from whom it is being collected or about whom it is to be obtained. e.g. criminal records, psychiatric history etc.

- The methods are neither appropriate to the subject of the proposed study or the research questions being asked, the need for the study is not established nor the project does not have the resources to properly address the research question(s).

- High levels of face to face contact and/or interaction between researcher and participant e.g. participant observation or observation study.

- Identities of participants are not kept confidential or anonymous and reasons for this are not fully justified.

- If the researcher personally knows the subjects/participants, or the researcher may have other duties or responsibilities towards all or some of the research participants, all of which may create potential conflicts of interest.
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Research Proposal Guide

How you write your proposal is up to you but if you can address the criteria in this guide it will help the RGF Co-ordinator or the RGF Approval Panel to make a judgement about your research proposal. If you can answer as many of the questions as possible, it will simplify and quicken the approval process.

<table>
<thead>
<tr>
<th>Criteria</th>
<th>Questions to address in preparing your research proposal</th>
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<tr>
<td>1. Background</td>
<td>• Why is this research important?</td>
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<td>• What other studies have there been in this area?</td>
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<td>• How will this research add to knowledge in this area?</td>
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<td></td>
<td>• What do you want to find out?</td>
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<td>• What is the main question you wish to answer?</td>
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<td>• What are the specific questions you will ask to address the main question?</td>
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<td>2. How you will do your research</td>
<td>• Will you be doing this research on your own or with others?</td>
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<td></td>
<td>• Have you provided full details of anyone else you intend to carry out this research with, including fieldworkers?</td>
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<td>• Who are you targeting in this research?</td>
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<td></td>
<td>• How many people or case files do you intend to interview or read through?</td>
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<td></td>
<td>• Where will the research take place?</td>
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<td>• Will participants be clearly and fully informed of the purpose of the research study?</td>
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<td></td>
<td>• How will you do this?</td>
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<td></td>
<td>• How will participants be clear about the expectations of the researcher?</td>
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<td></td>
<td>• Do you have an information sheet and a consent form for participants?</td>
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<td></td>
<td>• Supervisory arrangements - how do you intend your research to be supervised and monitored and by whom?</td>
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<td>• Who will be funding your research?</td>
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<td>3. Timetable</td>
<td>• When will your research start and finish?</td>
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<td>• Are there particular stages to the research - e.g. piloting, then main research?</td>
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<td>• If so, what are they?</td>
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<td>• Is the timetable realistic?</td>
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<td>• Is it influenced by external constraints or deadlines?</td>
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<td>• How will you provide regular updates and progress reports and to whom will you provide them?</td>
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</table>
4. Methodology

- What sort of data will you be collecting - e.g. are you intending to count numbers, talk to people directly or a mixture of the two?
- What is the main method you will use to carry out the research - e.g. questionnaire, face-to-face interviews, focus groups, paper reviews etc.?
- How will you select your sample?
- How will you recruit your sample?
- How will you collect your data?
- Will you be paying participants?

5. Ethical Issues

- Is there any potential risk or harm to participants or yourself?
- If so, what are the potential risks and what do you intend to do to reduce them?
- How will you obtain informed consent?
- Where informed consent is unable to be provided, what will you do? How will your research comply with equal opportunities?
- How will participants be given the opportunity to complain or raise issues about the service you are conducting the research on? How do you ensure they are being followed up?
- Will you be insured against professional negligence claims?
- How will you deal with complaints made against you by participants?
- How will you deal with any sensitive or criminal matters that may be raised in the course of your research?
- What follow-up support will be available to participants should they require it?
- What will you do if the focus of your research project shifts or changes substantially from the proposal? If it goes outside the original remit, how will you notify the council? You may need new approval.

6. Data protection

- Will you be using recording or video equipment?
- How will you make sense of or analyse the data?
- How will the data be stored?
- For how long will the data be stored?
- How will it be disposed of?
- How will you ensure confidentiality and anonymity of data?
- Who will have ultimate ownership of the data?
- If you are likely to need to contact a participant later, you need to declare this now.

7. Dissemination

- In what form will your findings be presented - e.g. report, presentation, journal etc?
- How will you be disseminating your findings?
- To whom will you be disseminating your findings?
- How will you ensure anonymity in any publications?
- To whom does the research belong and have you thought about intellectual property rights?
- It is a condition of approval that the research will be logged on the council’s database. The council would also like a summary to be made available for the council’s website – would you be willing to provide this?
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Research Application Process

Other Research enquiries to be referred to Corporate Research Team

Any Social Care Research enquiries to be referred to RGF Co-ordinator for Children or Adults

No requirement for RGF Approval Process

RGF Co-ordinator to decide whether proposed research activity is required to come under the remit of the Research Governance Framework or not.

Level 1 – Low risk, application can be fast tracked by RGF Co-ordinator and approval can be given within 5 working days.

Level 2 – Potential higher risk, application to be passed to RGF Approval Panel, approval can be given within 10 working days.

Send out application pack and receive completed application research proposal

Level 1 application to RGF Co-ordinator for approval

Level 2 application to RGF Approval Panel

Send letter of approval & RGF Co-ordinator arranges to meet with researcher & nominated manager to agree day to day practicalities of carrying out the research.

Commence Research Project, maintain contact with Research Co-ordinator or nominated Research Manager.

Submit copy of Research Report and findings on completion of Research Project. Log completion of Research Project onto Research Register for Social Care

Send letter, giving reasons for non-approval. Researchers can appeal against decision, rewrite research proposal or discontinue application to undertake research.

Yes

No
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Research Application Form

This form can be completed electronically or manually, but either way a signed copy must be sent to the RGF Co-ordinator.

**About You**

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<th>Name:</th>
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<td>Address:</td>
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<td>Email:</td>
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<td>Daytime telephone:</td>
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<td>Do you have any experience in research?</td>
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**About the other people who will be involved with the research**

| Name of your research supervisor (if applicable): |  |
| Address: |  |
| Telephone number: |  |
| Email: |  |
| Your supervisor’s research qualifications and experience (if applicable): |  |
| Names and job titles of your research team members (if applicable): |  |
**About the Research**

**Title and brief outline of Project:**

**What is your main reason for doing this research?**

**When do you propose to start this research?**
How long do you expect the research will take?

Have you attached a copy of your research proposal to this application?

Yes ☐ No ☐ Draft ☐

Will your research involve you talking directly to council staff, service users, their families or carers?

Yes ☐ No ☐

If yes, do you and all members of your research team have up to date CRB certificates? (Enhanced CRB is required if you require direct contact with participants)

Yes ☐ No ☐

Has your research been ethically approved by any of the following?

University ethics approved ☐ Yes ☐ No ☐
ADSS approved ☐ Yes ☐ No ☐
NHS approved ☐ Yes ☐ No ☐

Checklist

Please provide the following documents and tick the relevant boxes if applicable

☐ Completed application form
☐ Research Proposal
☐ If appropriate, please provide a copy of your draft questionnaire
☐ Research Timetable
☐ Information for participants
☐ Participant consent form
☐ CRB certificates
☐ For External Researchers – evidence of professional indemnity and public liability
☐ Please indicate that you have read the RGF Operational Guidance

Please list any other documents provided
Declaration of interests

Please indicate if you have any relationship (personal or professional), which you may have with a staff member, or potential participant that may affect this research, along with any commercial interests.

Declaration

To the best of my knowledge the information provided in this application and supporting documentation is accurate. If any significant changes are to be made to the research or the proposal I will inform the council’s RGF Coordinator or nominated Manager at the earliest opportunity.

Sign and Print Name………………………………………………..Date………………..
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Data Protection/Freedom of Information Acts and Caldicott Guidance

Everyone involved in carrying out research or related activities needs to be aware of their responsibilities under the following:

- Data Protection Act 1998
- Freedom of Information Act 2000
- Role of Caldicott Guardians

Data Protection Act 1998

The purpose of the Data Protection Act (DPA) is to protect the rights of individuals by ensuring the ways in which data is obtained, stored, processed, shared by others etc is strictly governed. The DPA relates to personal data or information held by organisations about individuals. Failure to comply could result in prosecution.

Under the Act, individuals have a right

- To see any information held about them
- To challenge organisations if appropriate
- To have inaccurate information changed or deleted
- To claim compensation if appropriate

The 1998 Act includes ‘all structured data in relevant filing systems’. This includes both electronic and manual files. A relevant filing system may be structured either by reference to individuals or by reference to criteria relating to individuals. It includes manual records e.g. structured files in filing cabinets containing personal data.

Personal data includes anything that can help identify a living individual, for example their name, address, car registration, National Insurance number, etc. Although the DPA doesn't apply to the records of deceased individuals, it should be noted that the Caldicott Guidelines suggest that the same level of respect for confidentiality should be afforded to the records of those who are deceased as is given to those who are living. Personal data will therefore be considered to apply to data or information from which any individual can be identified.

Sensitive personal data includes information concerning racial/ethnic origin, political or religious beliefs, trade union membership, physical or mental health, details of sexual orientation, criminal record etc. In this case, the data subject must give their explicit consent (informed and written consent) before data can be processed. If consent cannot be given, and no legal guardian or advocate is able
to give written consent on behalf of the data subject, processing must only take place where necessary and justifiable.

**What are the Data Protection Key Principles?**

1. **Personal data must be processed fairly and lawfully.**

   Data can only be processed if ONE of the following conditions applies:

   (i) The individual about whom the data has been collected has given informed consent i.e. they clearly understand the purpose for which the data is being collected and how it will be stored.

   (ii) It is necessary for

   - Performance or contract.
   - Compliance with legal obligation.
   - Protection of a person’s vital interests i.e. their life.
   - Administration of justice.
   - Crown/public functions.
   - Legitimate interests of a data controller/third party.

2. **Personal data must only be used for the stated purpose and should not be used in any other way without explicit consent from the data subject.**

3. **Personal data shall be adequate, relevant and not excessive.**

4. **Personal data shall be accurate and where necessary, kept up to date.**

5. **Personal data processed for any purpose or purposes shall not be kept longer than is necessary.**

6. **Personal data shall be processed in accordance with the rights of data subjects as stated above.**

7. **Security measures shall be taken to prevent unauthorised or unlawful processing of personal data and to protect against accidental loss or destruction or damage to personal data.**

8. **Personal data shall not be transferred to a country or territory outside the European economic area, unless that country or territory ensures an adequate level of protection for the rights and freedom of data subjects in relation to the processing of personal data.**

The Act also covers any personal data that is obtained from, or used for the Internet/Intranet including digitised images on web pages, photographs, email addresses, personal images recorded on CCTV etc.
Disclosing Information for Research Purposes

Where information is needed for research purposes, the DPA provides exemption from the usual requirement to obtain the consent of data subjects. However, the information must not be processed in any way which:

- would allow individual data subjects to be identified
- could result in substantial damage or distress to an individual
- would support measures or decisions made by the Council about individuals.

Before disclosing data for research, the Council must ensure that

- if an individual subject has stated that they object to information about them being used for research, that wish is respected (this is very rare)
- research workers comply with the Council’s policy and procedures
- research workers do not approach data subjects without the Council’s consent
- no data will be disclosed to third parties involved in the research
- the research results will not identify any individual or enable them to be identified
- the data will be kept secure and destroyed within an agreed time scale when no longer needed.

Freedom of Information Act 2000

The Freedom of Information Act (FoIA) gives a general right of access to all types of recorded information held by public authorities, including the NHS and local authorities. Exemptions from that right are specified within the Act (for example, information relating to personal data, law enforcement, national security, etc.). The Act is fully retrospective and came into effect on 1st January 2005.

Access to personal and patient information is still governed by the Data Protection Act 1998: the Freedom of Information Act gives right of access to non-personal information and amends the DPA to cover all personal information.

Part VII (AMENDMENTS OF DATA PROTECTION ACT 1998) covers amendments relating to personal information held by public authorities, including:

- Extension of meaning of ‘data’.
- Right of access to unstructured personal data held by public authorities.
- Exemptions applicable to certain manual data held by public authorities.

Both the Freedom of Information Act and the Data Protection Act are administered by the Information Commissioner.
Role of Caldicott Guardians
Caldicott Guardians are senior staff in the NHS and Social Services appointed to protect the personal information of service users. They were introduced following the Caldicott Review of Patient-Identifiable Information (1997), which recommended that ‘Guardians’ of patient information should be created to safeguard and govern the uses made of confidential patient information within NHS settings. The Caldicott principles were subsequently adopted by local authorities.

Caldicott Standards – General Principles
Principle 1 - Justify the purpose(s)
Every proposed use or transfer of personally identifiable information within or from an organisation should be clearly defined and scrutinised, with continuing uses regularly reviewed by an appropriate Guardian.

Principle 2 - Do not use personally identifiable information unless it is absolutely necessary
Personally identifiable information items should not be used unless there is no alternative.

Principle 3 - Use the minimum necessary personally identifiable information
Where use of personal identifiable information is considered to be essential, each individual item of information should be justified with the aim of minimising the need to identify individuals.

Principle 4 - Access to personally identifiable information should be on a strict need-to-know basis
Only those individuals who need access to personally identifiable information should have access to it, and they should only have access to the information items they need to see.

Principle 5 - Everyone should be aware of their responsibilities
Actions should be taken to ensure that those handling personally identifiable information – both practitioner and non-practitioner staff – are aware of their responsibilities and obligations to respect an individual’s confidentiality.

Principle 6 - Understand and comply with the law
Every use of personally identifiable information must be lawful. Someone in each organisation should be responsible for ensuring that the organisation complies with legal requirements.

Social Care Information Governance: Keeping Up To Date
Information governance addresses five broad aspects of information processing: how information is Held, Obtained, Recorded, Used and Shared (HORUS).
This brief summary contains the key aspects of information governance which impact on research governance. To keep up to date or to explore the wider issues, go to the Department of Health website (www.dh.gov.uk), click on Policy and Guidance, then on Information Policy, then Information for Social Care.

For further information, contact our Data Protection Officer and Caldicott Guardian:-

Paul Ainsworth  
Communications and Customer Relations Manager  
OCYP  
Box SS1003  
Castle Court  
Cambridge CB3 OAP  
Tel: 01223 718141  
Email: paul.ainsworth@cambridgeshire.gov.uk
Arrangements for Monitoring and Supervision

It is the responsibility of the researcher to identify an appropriately qualified and experienced supervisor who is able and willing to provide guidance, support and advice about the research. The researcher is also responsible for securing the supervisor’s agreement to undertake this task. If the research is being done through or as part of a university course or Diploma in Management Studies, the research supervisor will probably be a member of the university’s academic staff or personal tutor of the programme.

The RGF Approval Panel will also appoint a named person, usually an experienced manager, who will be the research link for each research project that has been approved. This nominated link manager’s role is to facilitate access to research participants or data and to oversee and monitor the progress of the research. S/he is not responsible for providing support and advice about the research itself.

Once a research supervisor has been chosen by the researcher and approved, the researcher should also ensure that the supervisor is fully aware of their role and in particular of the need to:

- ensure that the researcher adheres to the principles, requirements and standards of good practice as set out in the RGF
- offer regular support and advice throughout the conduct of the study and to monitor progress of the research
- ensure that the researcher maintains regular contact with the nominated link manager responsible for overseeing the research on behalf of the Council
- bring to the RGF Coordinator or nominated link manager attention promptly of:
  a) any matter that affects the ability of the researcher to continue the research or of the supervisor to continue to provide supervision;
  b) any matter that may adversely affect the interests of the participants, their families or carers or of the Council and its staff;
  c) any changes to the research proposal that takes place in the course of conducting the study;
  d) any other matter that the supervisor considers relevant.
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RGF Research Approval Panel - Terms of Reference

The RGF Research Approval Panel’s role is to consider Level 2 proposal to undertake any research, including a study, survey or consultation, that will involve services users, their families or carers and council staff either directly or indirectly.

In doing so the panel will:

- promote research and the research evidence database both within and outside the council;
- review all applications for research;
- make decisions about research applications on the basis of set criteria;
- ensure consistency and quality of research standards;
- prevent multiple or repeated requests for access to service users and staff;
- provide advice to researchers about the process, their research proposal and approval decisions;
- protect the interests of service users, their families or carers;
- protect the interests of staff;
- ensure the council is not exposed to undue risk arising from research;
- establish mechanisms to ensure research is monitored by appropriate council officers following approval being given;
- ensure the council’s legal requirements are met (e.g. equal opportunities, Criminal Records Bureau searches, data protection, patient confidentiality);
- oversee a register of approved research projects;
- periodically report on research activity involving services users, their families or carers and council staff;
- delegate such decisions (e.g. to a research co-ordinator) as it considers fit;
- monitor these delegated decisions;
- monitor research outcomes;
- establish a library of completed research that has been undertaken with council staff and with service users, their carers and their families.
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Research Approval Checklist

(To be completed with reference to the Application form and Research Proposal Guide)

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**SECTION A : THE APPLICATION FORM**

Has the Applicant provided:

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<td>Insurance details</td>
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<td>Supervision details</td>
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<td>Sponsor details</td>
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<td>Researcher qualifications/experience</td>
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<td>Research timetable</td>
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<td>Funder details / funding issues</td>
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<td>Consent forms</td>
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<td>Participant information letter / leaflet / sheet</td>
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<td>References</td>
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<td>Criminal Records Bureau Certificate</td>
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<td>ADSS approval</td>
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<tr>
<td>Applicant has read RGF Operational Guidance</td>
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<tr>
<td>Other supporting documents</td>
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**NOTES**

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29
SECTION B : THE RESEARCH PROPOSAL

1. Background

Has the applicant demonstrated the value of the research proposal? In particular, does the proposal:

- explain why the research is important?
- show how it will be of benefit, and to whom?
- show that it is new work, and whether the researcher knows of any other similar research?
- provide details of clear aims and objectives?

2. How the research will be conducted

Has the applicant discussed how the research will be conducted? In particular, does the proposal:

- state how many other people will be involved in the research and who they are
- explain how the research will be funded
- identify clearly the research target group
- show how participants will be clearly and fully informed about the purpose of the research study
- describe when and where the research will take place
- outline appropriate supervision arrangements
- show how participants will be clear about the researcher’s expectations
3. **Timetable**

Has the applicant considered how long the research will take? In particular, does the proposal:
- provide a realistic timetable, including start and end dates
- acknowledge any external constraints on carrying out the research
- identify particular stages in the research study
- plan to provide regular progress reports

4. **Methodology**

Has the applicant demonstrated that the design of the research study is appropriate? In particular, does the proposal:
- show that the methodology is appropriate to the research question
- explain the nature of the data to be collected, and why
- consider how the data will be collected
- explain how the data will be analysed
- describe how the sample will be selected
- explain how the research participants will be recruited
• outline any piloting arrangements
• state whether participants will be paid

5. Ethical Issues

Has the applicant thought about the affect their research may have, and any potential problems? In particular, does the proposal consider:

• the health and safety of research participants and/or researchers
• how informed consent will be obtained and participants will know they can opt out of the research study at any stage if they want to
• what arrangements need to be made to enable participants to complain or raise issues, for example about service provision and how they are to be followed up?
• what risks may exist and how appropriate insurance should be arranged
• how follow-up support will be offered if participants need it as a consequence of the research
• how the research will include hard-to-reach people
6 **Data Protection**

Has the applicant considered what will happen to the data collected during the research project, and after it has finished? In particular, does the proposal address:

- the use of recording or video equipment
- how data will be analysed
- where data will be stored, and for how long
- how data will be stored
- how the confidentiality and anonymity of data and participants will be protected
- who will have the ultimate ownership of the data

7 **Dissemination**

Has the applicant considered how the research findings will be used by him or her, the Council, and/or others? In particular, does the proposal consider:

- in what form the findings will be presented
- how the findings will be disseminated
- to whom the research will be disseminated (including participants)
- whether it has been agreed that the research and findings can be included on the Council’s database
- whether the research, its subject and findings could be mis-used by an individual or group of individuals, and how this might be addressed
- how the final report will address the limitations of the research and extent to which the findings could be generalised
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<th>Approved</th>
<th>Not Approved</th>
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**Reasons/Remarks:**

**SIGNED:** .................................................................

**PRINT NAME:** ..............................................................

**DATE:** ..............................................................................
CAMBRIDGESHIRE’S RESEARCH GOVERNANCE FRAMEWORK

Glossary of Terms

<table>
<thead>
<tr>
<th>Term</th>
<th>Definition</th>
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<tbody>
<tr>
<td>Research</td>
<td>Any work involving the collection of information from, or about, service users, their relatives and carers, and employees of the Council (‘staff’). It includes surveys, focus groups, consultations, reviews, evaluations, best value audits and student projects. It does not involve the routine collection of management information</td>
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<tr>
<td>Sponsor</td>
<td>An organisation (likely to be the Council) taking primary responsibility for ensuring:</td>
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<td>• designs of studies meet applicable standards;</td>
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<td>• arrangements are in place for appropriate conduct and reporting;</td>
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<td>• all necessary agreements are in place and documented</td>
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<td></td>
<td>Sponsors are usually (but do not have to be) main funders. Sponsors can be local authorities, universities, or research foundations</td>
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<td>RGF Co-Ordinator</td>
<td>The Council Officer who is the official point of referral for all prospective research applicants</td>
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<td>RGF Approval Panel</td>
<td>The Council body responsible for considering research proposals involving direct or indirect access to service users, their families, friends and carers. Membership of the Panel comprises Research Co-Ordinators and other relevant members of Council staff – eg, Data Protection Officers, Caldicott Guardians</td>
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<tr>
<td>Main or Principal Researchers</td>
<td>Individuals with over-all responsibility for the design, conduct and reporting of research studies</td>
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<td><strong>Research Team</strong></td>
<td>Researchers who, with main researchers, comprise the group of individuals conducting research studies – including field workers</td>
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<tr>
<td><strong>Research Supervisor</strong></td>
<td>Person responsible for the management of researchers and research projects</td>
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<td><strong>Nominated Link Officer</strong></td>
<td>A named Council officer (usually an experienced manager) appointed to provide the link between the Council and researchers. A Nominated Link Officer’s role is to facilitate access to research participants and oversee and monitor progress of research on behalf of the Council. (S)he is not responsible for providing support and advice about research itself.</td>
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<tr>
<td><strong>Participants</strong></td>
<td>Service Users, their relatives, carers and Council staff or contractors engaged by the Council who are subjects of research</td>
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<tr>
<td><strong>Research Proposal</strong></td>
<td>The written document that defines the research subject, methodology, timescale and plan showing how the research will be conducted. Proposals accompany application form and should address the criteria set out in the research proposal guide. The proposal must be approved along with the application, before any research can begin.</td>
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<tr>
<td><strong>Intellectual Property Rights</strong></td>
<td>Ownership of research usually resides with principal researchers, or members of research teams. Intellectual Property Rights of commissioned research (ie research funded by an external organisation or group) usually resides with the commissioning body, depending on the terms of the contract. Sponsorship of research does not usually confer Intellectual Property Rights on sponsors</td>
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| **Non-negligent harm** | Whilst research should not harm participants, it can occasionally do so unintentionally, and decisions may need to be made about how to redress situations where researchers have moral, rather than legal, responsibilities to the consequences of research. 

'Non-negligent harm' issues can be dealt with via
<table>
<thead>
<tr>
<th>Council complaints procedures, or other process in place before research starts.</th>
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<tbody>
<tr>
<td>Data Protection Act</td>
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<td>Informed Consent</td>
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<td>Participant Information Sheets</td>
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<td>Information sheets/leaflets should be produced prior to the start of research, and given to all participants before seeking their agreement to take part in the research. Sheets/leaflets must be produced in the participants’ own language and in formats accessible to people with disabilities (including Braille versions)</td>
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