Adult and Health Services and Children and Young People's Services

Research Approval Group Application Form

January 2019

Adult and Health Services (AHS) and

Children and Young People's Services (CYPS)

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Section 1 Research approval process and flowchart

1. Inexperienced researchers should read the step by step basic outline of the research process on the CYPS and AHS RAG website before completing this application.

Important points to note

- If you have a research project that may need approval, you will need to request this at **least one month** before you expect to carry out your research and approval must be in place before you start your research.
- Remember, **all associated documents must be attached** to your application before approval can be considered.
- **A senior manager** from CYPS (for CYPS applications) or AHS (for AHS applications) must be aware of your research proposals and **all student researchers** must have the support of their tutor.

2. Application criteria

Before you commence your application check whether it requires RAG approval.

2.1 If the research involves people who lack capacity, involves Social Care studies with substantial ethical issues or patients or users of NHS services

Social Care studies with substantial ethical issues, and all research with adults (aged 16 and over) who lack capacity to consent **MUST** be approved by the Health Research Authority (HRA) using the Integrated Research Application System (IRAS). The Health Research Authority also approves research for projects involving:

- Social Care studies funded by the Department of Health
- Integrated health & social care studies where there are no clinical interventions
- Studies in NHS setting where the approach uses social science or qualitative methods providing it does not involve clinical intervention
- Adult social care involving changes in or the withdrawal of standard care
- Patients or residents in residential care homes

More information and how to apply to HRA can be found at http://www.hra.nhs.uk/

Research involving patients and users of NHS services should be approved by the HRA using the Integrated Research Application System (IRAS). This service is responsible for approving research for projects involving;

- Participants identified as carers or relatives of patients and users for the NHS
- Access to data organs or other bodily material of past and present NHS patients
- Foetal material and IVF involving NHS patients
- Use of, or potential access to NHS premises or facilities
- NHS staff recruited as participants by virtue of the professional role
- Health related research involving prisoners (in addition to their own approval process)
- Processing of confidential patient information without consent where this would otherwise breach confidentiality
- Midwives conducting a clinical trial

More information and how to apply can be found at:
https://www.myresearchproject.org.uk/Signin.aspx

2.2 If the proposed research has been approved by the Health Research Authority (HRA)

In principle, an application should only have to go to one Research Ethic Committee for ethical approval. Durham County Council's (DCC), CYPS or AHS Research Approval Group (RAG) would not need to approve projects already scrutinised and approved by HRA. CYPS / AHS RAG may request a copy of the approval form and supporting documents and share these with an appropriate CYPS and AHS Strategic Manager for information.

2.3 If the project involves four or more local authorities

In this case, approval must be sought from the Association of Directors of Adults Social Services (ADASS) for projects involving adults, and the Association of Directors of Children's Services (ADCS) for projects involving children. ADASS/ADCS approval is not ethical approval but a decision about whether the research is worth doing. Authorities are advised not to collaborate with projects which are rejected by ADASS or ADCS. A local authority should be identified to undertake the lead for projects approved by ADASS /ADCS.

2.4 CYPS and AHS Research Projects

If you are undertaking research that targets employees or service users/carers of Durham County Council's CYPS or AHS, or involves their personal records, then you need to complete this application form for ethical approval to undertake your research. Approval is required for any internal or external research project or information gathering activity which:

- specifically targets the participation of CYPS or AHS employees, service users and/or carers
- requires access to existing CYPS or AHS data systems to access participant's records or details including staff, service users or carers

3. Initial checks

The day we receive your research proposals we will quality check these to ensure:

- the application has been fully completed
- that all associated documents have been attached
- you have given us at least one month to approve your application

The application will not be considered and returned to you if information or documents are missing, or we have less than one month's notice of your project start date.

4. Approval timescales

Initially, your fully completed application will be assessed to determine whether your research proposal and the arrangements you have made are considered high, medium or low risk. CYPS

or AHS RAGs decision on a low risk application will be provided within 10 working days. High and medium risk applications may take up to 20 working days.

5. CYPS & AHS RAG decisions

CYPS or AHS RAG will agree one of three possible decisions after scrutiny of your application:

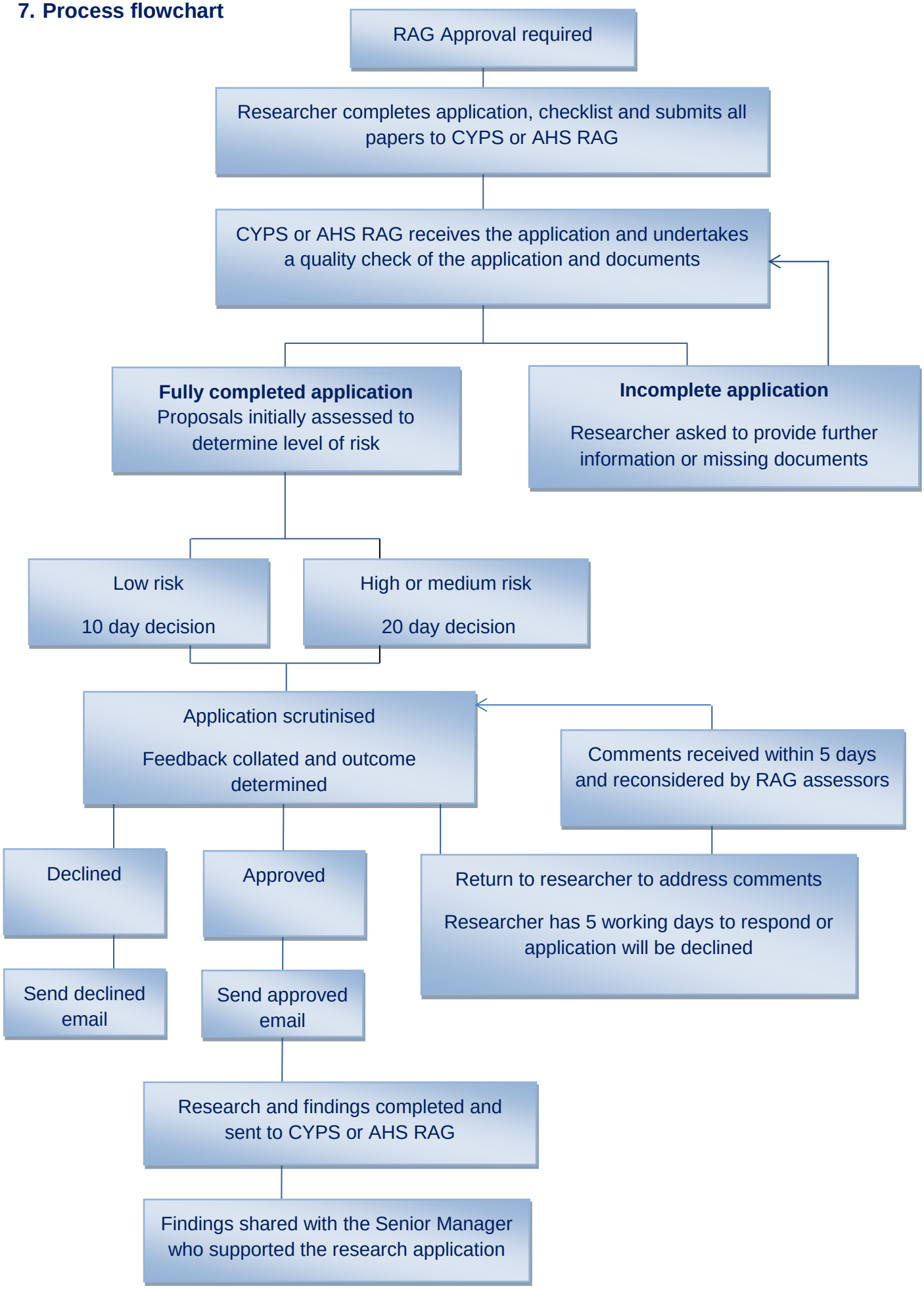
- Declined – if the proposals are not acceptable
- Approved – if the proposals are fully acceptable
- Return to researcher to address comments – The researcher will be notified of areas of concern within their proposals and will be asked to provide further information on the concerns raised within 5 working days. If further information is received within 5 days, CYPS or AHS RAG will re-consider the application, alongside the new information and decide to decline or approve the proposals. If further information is not received within the timescale, the application will be declined

In all cases, the researcher will receive an email with the decision. There is no appeal for declined applications.

6. Completed projects

The researcher should forward a copy of their final report/findings to CYPS or AHS RAG when the project is finished. A summary of this process is provided in the following flowchart:

7. Process flowchart



Section 2 Research Application Form - please fully complete all sections

SECTION A: RESEARCHER, CO-WORKER AND SPONSOR DETAILS					
A1	**Lead researcher details**				
	Forename:				
	Surname:				
	Work address:				
	Job title:				
	Email address:				
	Telephone contact:				
	Relevant qualifications Please detail below your highest level of qualification achieved to date				
	Qualification level:				
	Course title and date of attainment				
	Research experience				
	Do you have any relevant research experience?	**No**		**Yes** Please give details below	
	Quantitative:				
	Qualitative:				
	Other:				
A2	**Co-worker - If there are no co-workers go to question A3.**				
	Forename:				
	Surname:				
	Role within this project:				
	Relevant qualifications of co-worker Please detail below your highest level of qualification achieved to date:				
	Qualification level:				
	Course title and date of attainment				
	Research experience of co-worker				

SECTION A: RESEARCHER, CO-WORKER AND SPONSOR DETAILS					
	Do you have any relevant research experience?	**No**		**Yes** please give details below	
	Quantitative:				
	Qualitative:				
	Other:				
	If there is more than one co-worker, please tick this box and provide full details on a separate piece of paper:				
A3	**A senior manager within CYPS or AHS (Tier 4 or above) must support your research application.** Please provide details of this manager below.				
	Forename:				
	Surname:				
	Job Title:				
	Email address:				
A4	**Research student must have the support of their college/university tutor/sponsor.** Please provide details of your academic tutor or sponsor below.				
	College/university tutor name:				
	Job title:				
	Email address:				

SECTION B: PROJECT OVERVIEW		
B1	**Project title** In determining the project title, please consider the researcher's capacity, project timescales and available resources and reflect these considerations in your project title. For example, a single student researcher would not have the capacity to undertake research with ALL social workers but may identify the scope of their research in the project title by suggesting research will involve a specified team or location.	
B2	**Is this research project**	
	a component of a university qualification	
	intended to inform or direct service improvement and conducted by DCC staff only	
	intended to inform or direct service improvement and not conducted by DCC staff	
	other (please state):	
B3	**What is the main aim of this research?** The aim of your research should be realistic in terms of scope, capacity and available resources.	
	What are the main objectives of this research? Objectives, like the project aim, should be realistic in terms of scope, capacity and available resources and they should enable the researcher to address the aim of the project. It is recommended that no more than 4 objectives are considered, but there may be fewer than 4.	
	Objective 1:	
	Objective 2:	
	Objective 3:	
	Objective 4:	

SECTION B: PROJECT OVERVIEW

B4 **Why is this area of research important?**

You may be able to link your project to government policy or service development or improvement ideas to justify its purpose.

For student dissertations, the importance might be, or include, the researcher's own personal development.

B5 **Is there a commitment to act on the research findings?**

If you do not know whether there will be, or there is no commitment to act on findings, you will need to explain why this is the case by providing further information in this section.

No		Please state why not:	
Yes		Please give details:	
Not known		Please give details:	

B6 **Explain any way in which participants might benefit from the research**

Participants are usually asked to take part in research because they have some sort of association with the subject being researched and might expect to understand how they may benefit from the research. For example, service improvement, personal development, social contact, financial gain, etc.

B7 **Please provide a chronological timetable of the research project, including start and finish dates for the following:**

The project plan should allow sufficient time for the stages of the research process to be completed. For example, interviewing and analysing data from 20 interviews cannot be completed successfully in one week by a single researcher.

To allow sufficient time for scrutiny, please remember CYPS / AHS RAG will not consider an application where the primary research has started or is due to start in less than 1 month.

Activity 1 - preparation and planning:	Start date:		End date:	
Activity 2 – carrying out primary research:	Start date:		End date:	

SECTION B: PROJECT OVERVIEW					
	Activity 3 – analysing data:	Start date:		End date:	
	Activity 4 - reporting findings:	Start date:		End date:	
	Will this research be repeated? A new application would need to be submitted for repeated research projects where the arrangements change significantly.				
	Yes: Please give frequency				
	No:				
	Please provide the date by which you intend to make your project available. CYPS / AHS RAG should receive a copy of your findings.				
	Please describe below how the results of research will be made available and publicised to research participants and communities from which they are drawn. Research findings should be made available to all participants whenever possible.				
B8	**Research Funding**				
	Is funding required for the research?	**Yes:**		**No**	
	Has funding been secured?	**Yes:**		**No**	
	Please give details of the organisation funding this research if applicable:				
	Name of organisation				
	Address				
	Contact person				
	Telephone contact				
	Email address				
	Amount				

SECTION C: PARTICIPANT SAMPLING AND METHODOLOGY DETAILS (Please complete in language comprehensive to a person without expertise in the research area)					
Sampling arrangements and criteria for selecting participants Please consider the guidance on sampling and research methods on the CYPS and AHS RAG website before completing this section and describe how potential participants in the study be identified/ selected/ approached.					
C1	How will participants be selected? (Where sampling is required, please give the techniques/methods you will use)				
	From where will their contact details be obtained?				
	Please describe how participants will be approached or contacted?				
	What is the size of this population and how many participants do you plan to involve?				
	What formulae have you used to determine the number of participants you require?				
	If you are sampling the population, how many potential participants will you approach to ensure that you achieve the sample size given above?				
	Has statistical advice been sought on the study design?				
	Yes. Please provide details of their comments:				
	No. Please explain why not:				
C2	**Do you need to monitor and report the gender, race and ethnicity of research participants?**				
	Yes. Why?				
	No. Why not?				
C3	**Primary research methods. Please select all of the research methods below that will be used:** Please consider the guidance on research methods and developing a survey and questionnaire on the CYPS and AHS RAG website before completing this section.				
	Interviews Including structure, semi-structured, unstructured and /or telephone interviews.	**Yes**		**No**	
	Questionnaires	**Yes**		**No**	

SECTION C: PARTICIPANT SAMPLING AND METHODOLOGY DETAILS (Please complete in language comprehensive to a person without expertise in the research area)					
	Including postal, e-mail, face to face or internet surveys				
	Focus groups	**Yes**		**No**	
	Other methods. Please specify				
	If you have ticked yes to any of the above you MUST provide a copy of the following documents with your application.				
	Proposed letter or e-mail to participants	**Attached**			
	Interview or focus group script/s and/or question/s	**Attached**			
	Participant information sheet/s	**Attached**			
C4	**Describe below the research methodology/ methodologies you will be using to analyse your research**. For example, give details of the activities and processes that will be used to measure the data and interpret the outcomes.				
C5	**Describe how you will analyse your data including any statistical methods you will use.** Please consider the guidance on analysing and interpreting data on the CYPS and AHS RAG website before completing this section.				

SECTION D CONSENT ARRANGEMENTS							
D1	**Vulnerability** Might participants be from any of the following groups? (Tick as appropriate).						
	Children and young people (under 16 years)						
	Vulnerable CYPS / AHS service users or carers. For example: • People with mental health conditions • Elderly people including for example, people with dementia • People with learning disabilities • People from prison or detention settings						
	Other vulnerable groups – please give details						
	Disclosure, Vetting & Barring checks Researchers and co-workers involved in this project, which will be in direct contact with vulnerable groups or have access to personal information on vulnerable groups **MUST** have had appropriate Disclosure, Vetting & Barring checks.						
	Please confirm these checks have been completed.	**Yes**		**No**		**N/A**	
D2	**Written consent arrangements** Please consider the guidance on informed consent on the CYPS and AHS RAG website before completing this section. **Please note: Under the new General Data Protection Regulation (GDPR) you will NOT need to re-consent existing participants in order to comply with GDPR, unless you are making changes to your study processes or arrangements (e.g. changing what data you collect or how you will hold it).**						
	If research involves children under the age of 16, how will consent be obtained?						
	Is there any difficulty expected in obtaining consent? For example, could any of the participants have difficulty in consenting to take part in the project?						
	A copy of the proposed consent from has been attached	**Attached**					
	A consent form is not required as this is implied by the completion of a voluntary survey/questionnaire	**N/A**					
D3	**What arrangements have been made for participants who might not adequately understand verbal explanations or written information given in English, or who have special communication needs? (Translation, use of interpreters etc.).**						

SECTION E DATA PROTECTION			
E1	**Data protection arrangements** Please fully describe below the data protection arrangements in place for the collection, storage and destruction of electronic and paper copy data collected as part of this project:		
	How will data be obtained and recorded?		
	How will data be stored?		
	In what format and for how long will the data be retained?		
	How will the data be destroyed?		
	What security arrangements have been made to protect personal data transported as part of this project?		
	I understand I will not take the information gathered as part of my research project outside of Europe.		**Please tick** ☐
	Please provide details of appropriate or suitable safeguards which will be in place if data is to be transferred outside of Europe.		
E2	**Will there be an exchange of personal and identifiable information from one party or agency to another?**		
	No:		Please go to Section F
	Yes:		Please give details below:
	Which individual(s) or organisation(s) currently holds the information that will be shared?		
	With whom will the information be shared?		
	Why is it necessary to share the information for the purposes of the research?		
	What is the specific data or information that will be shared?		
	How long will the shared information be held?		
	How will the shared information be provided (e.g. paper copy, electronic)?		

	Please describe the steps you will be taking to safeguard the confidentiality of individuals 'records during the project? Who will be responsible for the implementation of these arrangements?	

SECTION F: RISKS							
F1	**Has or will this application be considered by another Research Ethics Committee?** ▪ If your proposal has already been approved by a National Research Ethics Committee (Health Research Authority), approval from CYPS and AHS RAG is not required. ▪ If your research involves four or more local authorities, approval will be required from the Association of Directors for Adults Social Services (ADASS) or Association of Directors of Children's Services (ADCS) and approval from CYPS / AHS RAG is not required.						
	No or not applicable						
	University or college						
	Other please give details						
	If it has been through another research committee what was the outcome/decision						
	A copy of the Research Ethics Committee approval has been attached	**Yes**		**No**		**N/A**	
F2	**Conflict of interest** Does the lead researcher or co-worker have any direct personal involvement in the organisation(s) sponsoring or funding the research that may give rise to a possible conflict of interest? Mitigating arrangements must be included to show that you have considered the implications of a conflict of interest in your proposals.						
	The researcher is employed by CYPS or AHS						
	The researcher is on student placement with CYPS or AHS						
	If yes to either of the above, how will the effects of the conflict/s of interest be minimised						
	Are any participants involved personally known to the researcher or co-workers?	**Yes**		**No**			
	If yes, how will the effects be minimised?						
F3	**Research sensitivities**						
	Might participants be discussing personal, sensitive, embarrassing, or upsetting issues?	**Yes**		**No**			
	If yes, how will the effects be minimised?						
	Is the research likely to lead to participants disclosing criminal or other activities that would likely to require action?	**Yes**		**No**			
	If yes, how will the effects be minimised?						

	What arrangements have been made to inform the participants of the actions that will be taken if a disclosure referral is required?		
	What arrangements have been made by the researcher to ensure disclosures are referred through the appropriate route?		
F4	**Risk arrangements**		
	Where will the research take place?		
	What are the potential risks to research participants, if any, and how will they be managed?		
	What are the potential risks, if any to the researchers themselves, and how will they be managed?		
	What arrangements, if any, have been made to provide compensation in the event of a claim by, or on behalf of, participants for negligent and/or non-negligent harm?	Arrangements have been made for negligent harm.	
		Arrangements have been made for non-negligent harm.	
		No arrangements have been made.	

If there is any further information about your project, that you have not been able to enter on this form, which you feel is relevant, please state here (please do not repeat information already given on this form).

Section 3 Researcher checklist and declaration

Researcher checklist	Yes	No	N/A	Office use only
	Researcher to complete			
Have you included the name of the CYPS or AHS Senior Manager (Tier 4 or above) supporting your research application in Section A, question 3?				
If you are a student researcher, have you included the name of your university or college tutor in Section A, question 4?				
Is the start date of your primary research at Section B question 7, at least 1 month after your application?				
If your research involves, interviews, questionnaires or /surveys and or focus groups then a copy of **each** of the following documents must be attached (Section C question 3).				
the proposed letter or e-mail to participants				
the interview script/s and or question/s				
the information sheet for participants				
If your project involves direct contact with participants or access to personal information from a one or more of the vulnerable client groups listed in Section D, question 1, then you must confirm that you have an appropriate Disclosure, Vetting and Barring check.				
A copy of the participant consent form/s must be attached for all projects unless the only research being undertaken is a voluntary survey or questionnaire. (Section D, question 2)				

Researcher declaration

- The information contained in this application form is accurate to the best of my knowledge and belief and I take full responsibility for it.
- I will carry out the research as it is described in this application form and attached documents.
- I will stop the research within this project and resubmit an application should this research need to be amended.
- I am aware of my obligations to comply with legislation and relevant guidelines relating to security and confidentiality of service user or other personal data.
- I understand that research records/data may be subject to inspection for audit purposes if required in future.
- I understand that personal data about me as a researcher in this application will be held and managed in line with the principles of the Data Protection Act and DCC policies & procedures.
- I will undertake and carry out the research in accordance with relevant legislation including the Mental Capacity Act 2005.
- I have the support of my college/university tutor for this research (where applicable).
- I have the support of the appropriate CYPS or AHS Senior Manager (Tier 4 or above) for this research.
- An appropriate referral will be made in the event that a participant makes a disclosure during the course of this project to myself or a co-worker and they will be informed of this action if appropriate.
- I agree to send my completed report and findings to CYPS / AHS RAG.
- I agree that my project will be available for future reference within the appropriate service area if required.

Signature of lead researcher		**Date**	

Data Protection Act 2018

Durham County Council complies with all relevant statutory obligations. Personal information processed by the Council will be handled in accordance with the Council's privacy statement, which can be accessed at http://www.durham.gov.uk/media/13508/Corporate-privacy-statement/pdf/DCCCorporatePrivacyStatement.pdf?m=636669124973630000. Researchers must adhere to the data protection arrangements as specified in Section E above. If you have any concerns about how your data is handled, please contact either the Data Protection Officer at DPO@durham.gov.uk or the Information Commissioner's Office casework@ico.org.uk

When you email your form to CYPS / AHS RAG your email address will be taken as your signature.

Please return your application form to the ResearchApprovalGroup@durham.gov.uk

If you need this application form in other formats, such as Braille or talking tapes, please contact 03000 267 362 (Children) / 03000 268 421 (Adults).

Please ask us if you would like this document summarised in another language or format.

العربية (Arabic) (中文 (繁體字)) (Chinese) اردو (Urdu)

polski (Polish) ਪੰਜਾਬੀ (Punjabi) Español (Spanish)

বাংলা (Bengali) हिन्दी (Hindi) Deutsch (German)

Français (French) Türkçe (Turkish) Melayu (Malay)

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Braille **Audio** **Large Print**