# Evidence Gathering Application Form (Stage 2)

**Cumberland Council**

**Research Governance Framework**

**Thank you for registering your evidence gathering project. Our joint risk assessment suggests that there is moderate to high level of risk associated with this project and so further planning is needed in order to mitigate these risks. Please complete the form below and the HDRC team will arrange to meet with you within three weeks to discuss next steps.**

**Section One: Basic Details**

|  |  |
| --- | --- |
| Project Title  |   |
| Reference Number from Stage One  |   |
| Names and Roles of Project Team  |   |

**Section Two: What do You Want to Know?**

|  |  |
| --- | --- |
| What is the overall aim of your project? |  |
| Please list the questions you would want to ask people in your interviews / survey / workshops etc.  |  |
| Please indicate if these are exact questions with final wording, a draft or questions to be asked, or just areas of interest.  | Exact wordingDraft wording |

**Section Three: About the People Taking Part**

|  |  |
| --- | --- |
| Who will you approach for your evidence gathering?  (Please provide the number of people and any demographic details).  |   |
| How will you reach and recruit these people?  |   |

**Section Four: Mitigating Risks**

|  |  |
| --- | --- |
| Are there any risks for people taking part in this project?  |   |
| How will you manage these risks?  |   |
| What risks might exist for the project team and how will you address them?  |   |

**Section Five: Benefits**

|  |  |
| --- | --- |
| Are there any benefits for the people taking part? If so, what are they?  |   |
| Do you intend to offer any incentives, payments or expenses to people taking part? If so, what and how will they be paid?  |   |

**Section Six: Gathering your Evidence (Methods)**

|  |  |
| --- | --- |
| How will you collect your evidence?  (Please highlight all that apply)  | * Consultation
* Interview
* Focus group
* Workshop
* Art / dance / drama / music
* Other
 |
| If ‘other’ please specify  |   |
| How will you analyse the evidence you have gathered?  | * Identifying themes
* Identifying trends and patterns
* Using examples and case studies
* Using maths / statistics (e.g. percentages, ranges, averages)
 |
| Please describe how you will engage the community in your project (e.g. designing, conducting, analysing the evidence). If they are not engaged please explain why not.  |   |

**Section Seven: Data Protection and Security**

|  |  |
| --- | --- |
| What plan is in place for the storage of data (electronic, digital, paper, etc.)?  |   |
| Will audio and/or video recording take place?  | * Yes
* No
* Unsure
 |
| If yes, what arrangements have been made for audio/video data storage?   |   |
| At what point in the research will tapes/digital recordings/files be destroyed?  (Please refer to the Council’s Retention Schedule).  |   |

**Section Eight: Sharing your Learning**

|  |  |
| --- | --- |
| Will your findings be for internal or external audiences?  | * Internal Council Staff Only
* Restricted external organisations / people
* Anyone
 |
| What format will your findings take? (e.g. powerpoint, report, video, exhibition)  |   |
| Do you intend to publish this evidence gathering in an academic journal or at an academic conference?  | * Yes
* No
* Unsure
 |

**Section Nine: Participant Information Sheet**

**Please update this section with your project details.**

**Cumberland Council**

**Participant Information Sheet**

**This template can be adapted for your own project in an electronic or online format, or you can develop your own approach to delivering participant information. Be aware, however, that if an improvised Participant Information Sheet does not cover at least the core of the issues suggested below, reviewers may well ask for significant amendments. Therefore, even if you do not use this template directly, reviewing the sections below may help you clarify appropriate practice for your own project.**

**The text must be fully accessible for your specific participants, i.e., it must use language that will be unambiguous to that group and avoid unexplained jargon/acronyms. All participant-facing materials should have a clear, consistent and accessible layout and should generally include a Cumberland Council logo and other collaborator/funder logos where relevant. They should also be comprehensively checked for spelling, punctuation and grammar, as they will be available in the public domain and thereby hold reputational significance for all involved agencies.**

**Please note that in online surveys, the Participant Information and Consent Questions should typically be embedded in the survey itself, and not sent/requested ahead of the survey by email or post in order to maximise participant identity protection and minimise wasted time.**

**If you are using this template, be sure to remove or reformat all purple (instructional) text- including this header block - and any green (example) text, before finalising and submitting your application for review.**

**PROJECT TITLE:** The title should be simple and self-explanatory to your participant group, and should appear (in the same form) on all project documentation. In the title, all acronyms need to be written out in full, even where they will likely be familiar to participants.

**WHAT IS THE PURPOSE OF THE PROJECT?**

The background and the aim of the project should be given here. Include a sense of for how long the project will run and a brief outline of the overall design of the project. Be particularly careful to use participant-friendly language here, and to avoid technical jargon unless the participants themselves will be familiar with it. If you know with any certainty, you might also include a note of how many other people will be asked to participate.

**WHY HAVE YOU ASKED ME TO TAKE PART?**

Explain how the project is recruiting participants or how the individual was chosen to take part, detailing all key inclusion criteria. This should align clearly with the previous section, so that it is easy for a participant to understand why they ‘fit the bill’.

*For example:* You have been invited to participate in this study because you have identified you are a [X] qualified to at least BSc level, with a minimum of five years of experience working in [Y] since you graduated from your degree, and direct experience of managing [Z].

**WHAT WOULD TAKING PART INVOLVE?**

Explain your methods of data collection, including what the individual will be asked to do (e.g. fill out a questionnaire; keep a diary; be interviewed etc.), how much time will be involved, whether the project involves a one-off involvement or repeat or ongoing encounters, and where the work will take place, e.g. location of interviews. If the project will involve video/audio-recording or photography, explain what equipment might be used and what will be involved for participants, including confidentiality issues. If subsequent publications or other outputs will identify the participant, make sure this is explicit.

*For example:* You will be asked a number of questions regarding [describe research topic and the kind of data you require]. The activity/interview/focus group etc. will take place [in a location / online, and at a time that it is convenient for you, and should last approximately [duration], though you will not be actively cut-off if you feel you have more to contribute. The activity/interview/focus group etc. will be audio-recorded / video-recorded / measured using [detail instruments / equipment].

**DO I HAVE TO TAKE PART?**

Explain that taking part in the project is entirely voluntary, and that participants can withdraw at any time before, during (and where offered) after they contribute without needing to provide a reason. If you are offering the option of *post-hoc* withdrawal, it is essential that a timeframe is also included (usually one or two weeks after the participant’s contribution is complete) and to note that methods for withdrawing are discussed below.

If the project is linked to a service that participants are receiving, be certain to reassure them that the service or care they receive will not be affected. Similarly, if they are students, reassure them that their marks will not be affected, whether or not they decide to take part.

*For example: It is up to you to decide whether or not to take part. If you do decide to take part, you are still free to withdraw all or any part of your contribution at any time before, during or up to a week after you make your contribution. You can do this without giving a reason and without any impact on any services you are using.*

**WHAT IF I CHANGE MY MIND ABOUT PARTICIPATING DURING THE STUDY?**

Reiterate *when* and *how* participants may withdraw from the project, and here it is important to be realistic, to specify timeframes around withdrawing, and to clarify the implications of withdrawing at different stages, during ongoing data collection, or after data collection has been completed. Once data have been redacted and separated from real names, it is very difficult to remove details from a dataset; once an article has been published it is not possible to retract the data. Also, for studies using participants in groups, retraction of one or more contributions after the event can render the wider dataset ambiguous or even meaningless. Finally, the mechanism for withdrawal must be made unambiguous, and should be attentive to the confidentiality implications of the project itself. Do not, for example, mandate that withdrawal requests from an anonymous online survey be submitted to the researchers by email; this effectively makes breaking anonymity an active condition of withdrawal.

For example: Agreeing to participate in this project does not oblige you to remain in the study or to have any further obligations to the project or team. You can withdraw from the study at any time before or during making your contribution, plus [specify timeframe: up until data analysis begins; for two weeks after the interview; until the end of the funded project; up until publication; until data are deposited in an archive.] If you wish to withdraw, you should [specify mechanism: email / complete withdrawal survey etc.]

If you withdraw from the study, all the information and data collected from you, to date, will be destroyed in line with your wishes, and your name removed from all study-related files.

**WHO IS ORGANISING AND FUNDING THE RESEARCH?**

Explain that you are conducting the research as a postgraduate research student or member of staff at the Cumberland Council. You should explain whether you are the sole project staff, or if there is a team, and name the team. If there is an interview or other direct person-to-person contact with the participant, you should explain who will actually carry out the work with them. You should also state the organisation that is funding the research if appropriate.

**WHAT HAPPENS TO MY DATA DURING THE PROJECT?**

Explain how raw (i.e., unredacted) data will be stored during the project on OneDrive, avoiding the use of mobile storage devices such as external hard drives and thumb drives, and when it will be deleted. Detail who will have access to the raw data at this point and at any time in the future (including stakeholders, funders etc.). Explain (in lay terms) how your storage practices in the project will meet legal requirements of General Data Protection Regulation; funder’s requirements; professional bodies; and best practice. Be particularly explicit about the level and specifics of data redaction/anonymisation that will be applied. Do not propose or imply that qualitative data will be ‘anonymous’ or ‘anonymised’, particularly not if you are intending to use direct quotes in any of your outputs. With even redacted quotations, there is a small chance that someone already familiar with a participant may recognise them from their words. This chance increases significantly with the use of focus groups, and ‘closed cohort’ studies such as those of a workplace or student group. Finally, and to the same ends, be careful to specify if any redacted/anonymous data may be made available either directly through plans to share datasets, or indirectly through any open datasets made public through the project.

For example: Only the project team and a trusted transcriber, signed-up to the full ethical conditions of the project, will see/hear the raw data you provide; these [sound/video] files will not be made available at any time to other individuals or agencies. All your personal details, including names, email addresses etc., will be kept strictly within the research team. When the media files are transcribed, all names, places and exact dates will be removed (redacted).

All raw and redacted project materials will be stored on Cumberland Council’s secure, Multi-Factor Authenticated (MFA) SharePoint, in accordance with the General Data Protection Regulation (GDPR) along with the Data Protection Act 2018 (DPA). The project will be also be guided by and adhere to Cumberland Council’s data protection policy and guidance.  While no raw data will be available to anyone outside of the project team, direct quotations will be used in all outputs from the work and, although redacted, there may be a small chance that someone already familiar with you may recognise you from their content. Redacted transcripts may - in line with some publishers’ requirements - also be uploaded in part or in full to an academic data repository.

It is expected that the raw data will be securely deleted as soon as transcription is complete, and by no later than [date]. All redacted data will securely be deleted by [date].

**ARE THERE ANY POSSIBLE RISKS IN TAKING PART? (WHERE RELEVANT)**

Describe any risks or 'costs' to taking part in the project, including the time involved, and if there are possible risks, describe any safeguards or mitigating measures to address those risks. These might include having a friend or family member attend an interview with a participant to provide support, the guarantee of a qualified first aider being in attendance at any project activity involving physical exertion, additional reassurance about spontaneous right of withdrawal and so forth.

For example: The only cost to you here would be in the form of your time. There are no significant risks anticipated from your participation in this project, though it is possible that you may find some of the topics for discussion upsetting. If you anticipate anything being tough for you to discuss, you are encouraged to have a friend or family member with you during the interview for support. If you feel that you need a break during your interview, you need only ask for one. If you need to terminate the interview completely, just say so and you’ll need to provide no further reason.

It is difficult to determine all potential risks at the outset of a piece of research, but some potential risks are…”

**WHAT ARE THE POSSIBLE BENEFITS OF TAKING PART?**

Outline any direct benefits for the individual and any other hoped for beneficial outcomes of the project, including furthering our understanding of the topic or sharing experiences with peers (when using such methods as focus groups). Explain any benefits, but where there is no intended direct benefit for the participant, this should be stated clearly. It is important not to exaggerate the possible benefits. For example:

For example: By sharing your experiences with us, you will be helping [staff member name] and the Council to better understand [research topic].

**WILL I BE REIMBURSED FOR ANY OUT-OF-POCKET EXPENSES AND/OR INCONVENIENCES ASSOCIATED WITH PARTICIPATION IN THIS PROJECT?**

If you are providing any travel expenses, or small gifts, payments, tokens etc, as recompense for participants’ time, please explain this here, and how and when they will receive the expenses/vouchers etc.

**WHAT WILL HAPPEN WITH THE RESULTS OF THE RESEARCH PROJECT?**

Explain what will happen to the results of the evidence gathering. Will they be used in a Council Paper? For which directorate? Will they be published? As articles? A book? A policy briefing? In public engagement or knowledge exchange events? How can they obtain a copy of the final output? Will there be a website? A newsletter for participants? You may not have decided on all of these matters yet, so do try and imagine all the ways you might use the outputs, so that you have relevant consent in the future.

Remember that you cannot use the collected data for any purpose of which the participants have not been informed here, at least not without going back to all of them and seeking further consent. In some studies, not least anonymous online surveys, this will simply not be possible, and therefore any statement you make here will be definitive for the project lifetime.

For example: The results of this study will be firstly published as a formal report for the funders (see above), which will be available on the project website (link). It is then expected that they will be presented at national/international conferences and written-up as articles for peer-reviewed academic journals. We may also use evidence from this study for teaching purposes.

You will be sent a one-page summary of the findings as soon as the project is complete, and notified of when any public outputs become available, including those stored in Cumberland Council’s Evidence Hub.

**WHO HAS APPROVED THIS PROJECT?**

Once the project has been approved, update this section to clearly state your approval reference number.

For example: This project has been approved through Cumberland Council’s Health Determinant Research Team and / or University of Cumbria Ethics Committee and / or others.

**SAFEGUARDING AND CHILD PROTECTION**

This can be deleted if not relevant.

If you tell a member of the project team about something which indicates a risk of serious harm to yourself or other person(s), we may not be able to keep this confidential and  will discuss with you what steps we will take.

**ENVIRONMENTAL PROTECTION**

This can be deleted/adapted according to the project.

This project has been designed and will be conducted so as to cause minimal negative environmental impact.

**HOW CAN I FIND OUT MORE INFORMATION ABOUT TAKING PART?**

Explain exactly who should be contacted and how, if there is any deadline for making such contact. Where the study will otherwise be authentically anonymous, i.e. a mass survey, either find a way of allowing participants to contact you anonymously (e.g. an online notice board) or make it explicit that by emailing the team directly, they will be breaking anonymity.

**PRIVACY NOTICE**

This Privacy Notice explains how we process the personal data of individuals who agree to take part in evidence gathering activity for Cumberland Council [attach statement].

**WHAT IF I WANT TO COMPLAIN ABOUT THE RESEARCH**

If you have any concerns about the way in which the project has been conducted, or you wish to make a complaint, you can use the Cumberland Council’s complaints procedure.

**THANK YOU**

Thank you for taking time to read this Participant Information Sheet.

**DATE**

This Participant Information was last updated on: XX/XX/XXXX

**Section Ten: Consent Form**

**Please update this section with your project details.**

**Cumberland Council**

**PARTICIPANT CONSENT FORM**

**This template can be adapted for your own project in an electronic or online format, or you can develop your own consent-collecting method. Do remember that the text of your consent materials must be fully accessible for your specific participants, i.e., they must use language that will be unambiguous to that group and avoid unexplained jargon/acronyms. Alongside careful wording, this means also adding any additional questions that might be relevant to your project, and deleting any below that are not relevant, as redundant questions could cause significant confusion. Even if you do not use this form, working through the questions below may help you clarify appropriate practice for your own project.**

**All participant-facing materials should have a clear, consistent and accessible layout and should generally include a University of Cumbria logo, and other collaborator/funder logos where relevant. They should also be comprehensively checked for spelling, punctuation and grammar, as they will be available in the public domain and thereby hold reputational significance for all involved agencies.**

**Please note that in online surveys, the Participant Information and Consent Questions should typically be embedded in the survey itself, and not sent/requested ahead of the survey by email or post in order to maximise participant identity protection and minimise wasted time.**

**If you are using this template, be careful to remove or reformat all purple (instructional) text- including this block - and any green (example) text, before finalising your Consent Form and submitting your application for ethical review.**

**TITLE OF PROJECT:** [Project Title – to match exactly that on the Participant Information Sheet]

If you are happy to participate in the project as outlined in the Participant Information, please [initial/check] each box as appropriate, leave blank any box for which you prefer not to give consent, and then [sign this form at the end / move to the main survey]:

|  |  |  |
| --- | --- | --- |
| 1.  | The project staff member has given me my own copy of the Participant Information Sheet, and I have had the opportunity to read and consider the information.    |   |
| 2.  | I have been given the opportunity to ask any further questions and have had these questions answered to my satisfaction.  |   |
| 3.  | I understand that participating in the project involves [describe methods, duration, location e.g. an hour long interview in the participant’s own home, or location of their choosing; completing a questionnaire survey 3 times over a 12 month period; committing to ongoing participatory research of approximately 2 hours weekly over 12 weeks; if there is more than one method, or contact point, it may be appropriate to have multiple check boxes for each method or phase of the project].  |   |
| 4.   | I have been given information about how my data will be stored and used during and after the end of the research, and I have read and understood this.  |   |
| 5.  | I understand that the project team will be [taking photographs/videoing] and I give my consent for these [specify data format e.g., photos; videos] to be reproduced for educational and/or non-commercial purposes, in academic publications, reports, presentations, websites and exhibitions connected to the [project name].  |   |
| 6.  | I understand that my data may be quoted in [academic publications, articles, books, reports, web sites, related to the research project: please specify format of outputs if known.]   |   |
| 7.  | I understand that my taking part is voluntary; I can withdraw from the project at any time before or during participation, and I do not have to give any reasons for why I no longer want to take part *(and this will be without any impact on any related services I am using)*. I have read and understood the Participation Information Sheet about the implications of withdrawing at different points during the life of the project.  |   |
| 8.  | I understand that if I want to withdraw from the project, I can withdraw up to **xx** weeks after by...**xxxx**. I can follow the instructions on the Participant Information Sheet to do so.   |   |

Please sign here if you wish to take part in the project and feel you have had enough information about what is involved:

|  |  |  |  |
| --- | --- | --- | --- |
| Role  | Name  | Signature  | Date  |
| Participant  |   |   |   |
| Parent / guardian if under the age of 16  |   |   |   |
| Project staff   |   |   |   |

**Section Eleven: Debrief Sheet**

**CUMBERLAND COUNCIL**

**PARTICIPANT DEBRIEF SHEET**

**This template can be adapted for your own project in an electronic or online format, or you can develop your own approach to debriefing participants once their contributions are complete (due to the project ending or the participants withdrawing). Be aware, however, that if an improvised debrief method does not cover at least the core of the issues suggested below, ethics reviewers may well ask for significant amendments. Therefore, even if you do not use this template directly, reviewing the sections below may help you clarify appropriate practice for your own project.**

**The text of your Debrief Sheet must be fully accessible for your specific participants, i.e., it must use language that will be unambiguous to that group and avoid unexplained jargon/acronyms. All participant-facing materials should have a clear, consistent and accessible layout (e.g. a sans serif font such as Calibri or Century Gothic and line-spacing set to at least 1.5), and should generally include a University of Cumbria logo, and other collaborator/funder logos where relevant. They should also be comprehensively checked for spelling, punctuation and grammar, as they will be available in the public domain and thereby hold reputational significance for all involved agencies.**

**Please note that in online surveys, debriefing should typically be embedded at the end of the survey itself, and not sent after the survey by email or post to maximise participant identity protection and to minimise wasted time.**

**If you are using this template, be sure to remove or reformat all purple (instructional) text- including this header block - and any green (example) text, before finalising your Debrief Sheet and submitting your application for ethical review.**

**TITLE OF PROJECT:** [Project Title – to match exactly the Participant Information Sheet and Consent Form]

Thank you for taking part in this project. The study aimed to investigate [insert a very concise reminder of the aim of the project, consistent with that on the PI Sheet, and reveal any deception used].

[Where relevant]: If you subsequently wish to withdraw from this project, [provide a reminder about retrospective withdrawal that is fully consistent with that in the PI Sheet. This should include the number of days/weeks that you have given on the PI Sheet, and remind how they should get in touch with you e.g., by email, with memorable word or number, or using an anonymous Withdrawal Survey, including the link here. Ensure participants are aware that it may not be possible to withdraw their data once analysis is underway etc.].

[Where relevant]: If any of the issues in this study were distressing and you feel you need additional support, please contact one of the organisations below for help:

[Add in appropriate and tailored signposting e.g., you may signpost to support agencies or charities, or you may suggest talking to a GP, an employer or supervisor if relevant].

Participants should be provided with information on how and when they can receive feedback on the results of the project and any information about being able to access results or a summary of findings. For example:

[Where the participants’ identities are known to the research team]: When the research is complete, you will be sent a summary of the findings via the channel through which you were originally contacted. If you would prefer not to receive this summary, please let us know using the contact details below. Any future public outputs from the research, such as [include outputs consistent with those described on the PI Sheet, e.g. conference presentations, journal papers] will be made available via Cumberland Council’s Evidence Hub.

[Or, for fully anonymous work]: When the research is complete, you will be able to access a summary of the findings via the channels (social media pages, groups, email lists) on which the project was originally advertised. Any future public outputs from the research, such as [include outputs consistent with those described on the PI Sheet, e.g. conference presentations, journal papers] will be made available via Cumberland Council’s Evidence Hub.

**PRIVACY NOTICE**

Privacy Notice for Participants This Privacy Notice explains how we process the personal data of individuals who agree to take part in projects carried out by Cumberland Council. This notice is intended for Participants engaged in evidence gathering activities. It should be read in combination with the participant information sheet and the projects privacy notice.

Thank you again for your time.

[Name the project team, with contact details as per the PI Sheet]

**Further Considerations for PI/Researcher:**

* Ensure that the signposting to additional support is tailored to the specific project and participants.
* Consider how and when the debrief will take place i.e., in person, online or over the phone; at the end of an interview or activity, a week later etc.
* Ensure that there is complete consistency between the debrief sheet, participant information sheet and consent form. If there is not, it may leave the research team vulnerable to complaint.
* If there are multiple stages or phases to the research, you may wish to include details of what will happen next.

**Section Twelve:  Confidentiality Agreement for Translators and Transcribers** (if appropriate)

**Confidentiality Agreement for the Transcription or Translation of Qualitative Data**

|  |  |
| --- | --- |
| **Title of Project**  |    |
| **Lead Council Staff:**  |    |
| **Ethical Approval Reference:**  |    |

In accordance with the Council Research Governance Framework the identities of all participants in the above-named study must be protected in full accordance with the conditions of ethical approval granted, and all data handled in full compliance with the UK’s [GDPR](https://ico.org.uk/for-organisations/uk-gdpr-guidance-and-resources/). Therefore, any personal information or any of the data generated or secured through transcription must not be disclosed to any third party, unless the permissibility such disclosure has been explicitly approved by the REP.

**Details of Transcriber / Translator**

Name (block capitals):

Address:

By signing this document, I agreeing:

* Not to pass on, divulge or discuss the contents of the audio material provided for transcription to any third parties, unless the permissibility such disclosure has been explicitly approved by the REP;
* To ensure that material provided for transcription is held securely, in full compliance with the conditions of ethical approval granted by the REP, in full compliance with the UK’s [GDPR](https://ico.org.uk/for-organisations/uk-gdpr-guidance-and-resources/);
* To return transcribed material to the research team when completed, by the agreed deadline and in the secure manner approved by the REP;
* To securely destroy any audio/video and other and electronic files provided, and relevant to the above study, immediately after transcripts have been provided to the research team;
* To assist the University where a research participant has invoked one of their rights under data protection legislation;
* To report any loss, unscheduled deletion, or unauthorised disclosure of the audio material to any third parties, to the University immediately;
* To act only on the written instructions of the named Principal Investigator, or a representative of the REP;
* To, upon reasonable request, allow the researcher, or a representative of the REP, to inspect the location and devices where the raw data are stored to ensure compliance with this agreement;
* To inform the University’s Data Protection Officer, via gdpr@cumbria.ac.uk, if you believe you have been asked to do something with the audio/video materials which contravenes applicable data protection legislation;
* To not employ any other person to carry out the work, in part or in full, on your behalf.

**Signature**:

**Date**:

**Submit this form to the HDRC:** **HDRC@cumberland.gov.uk**