Havering
LONDON BOROUGH

RESEARCH GOVERNANCE POLICY AND PROCEDURE

V1.0

Document Control

Document details

Title	*Research Governance Policy and Procedure*
Version number	*V1.0*
Status	*Final*
Author	*Jodie Calder- Service Improvement Officer*
Lead officer	*Lucy Goodfellow – Policy and Performance Business Partner (Children, Adults & Health)*
Approved by	*Cllr Jason Frost*
Review date	

Version history

Version	Status	Date	Dissemination/Change
V0.1	*Draft*	*14.11.2016*	*Track Changes noted on Version 0.1 from Jessica Stokes and Sonya Edwards (Children's Services Audit team)*
V0.2	Draft	22.11.2016	Kate Dempsey – Principal Social Worker
V0.3	Draft	18.09.2017	Alain Rosenberg – Policy & Performance Business Partner
V0.4	Draft	27.10.2017	Tim Aldridge – DCS, Barbara Nicholls – DAS, Robert South - Assistant DCS, Trevor Cook - Assistant Director Education.
V0.5	Draft	11.12.2017	Stephen Doye – Legal Manager (Litigation),
V0.6	Draft	19.03.2018	Phillipa Brent-Isherwood – AD Policy, Performance and Communities
V0.7	Draft	08.08.2018	Lucy Goodfellow – Policy & Performance Business Partner
V0.8	Final	14.08.2018	Sam Gable – Finance Business Partner; Cheryl Graham – HR Business Partner; Vernal Scott – Equality & Diversity Advisor

Approval history

Version	Status	Date	Approved by
V1.0	*Final*	*xx.09.2018*	Cllr Damien White – Leader of the Council

RECORD OF DECISION

I have made this executive decision in accordance with authority delegated to me by the Leader of the Council and in compliance with the requirements of the Constitution.

Decision

*Proposal agreed / Proposal NOT agreed (**Delete as applicable)** because*

Signed _____

***Name:** Councillor Jason Frost*

***Cabinet Portfolio held:** Cabinet Member for Health and Adult care Services*

In consultation with the Leader of the Council, Councillor Damian White

***CMT Member title**: Jane West – Chief Operating Officer*

***Head of Service title:** Sandy Hamberger – AD Policy, Performance & Communities*

***Other manager title:** Lucy Goodfellow – Policy & Performance Business Partner (CAH)*

***Date**: September 2018*

CONTENTS

INTRODUCTION

1.1 PURPOSE

London Borough of Havering considers research to be a valuable tool for learning, user engagement and service improvement. In conducting, supporting and granting access to research the Council has a duty of care towards its staff, service users and carers. This policy ensures there is a comprehensive governance framework in place for recording, assessing and monitoring research and research-related activity.

1.2 POLICY SUMMARY

This Policy sets out the research governance framework for conducting, supporting and granting access to research with staff, service users and carers, including protecting the safety and wellbeing of those involved.

1.3 DEFINITION

Research is identified as any activity involving the collection or analysis of information that is not routinely collected in the course of normal practice from or about:

- Children and young people (in their capacity as service users),
- Their families or employees of Children's Services
- Adult Social Care Service Users
- Their families or employees of Adult Social Care
- Anyone to whom the Director of Children's Services or the Director of Adult Social Care has a duty of care.

This is the case whether the data collection occurs through face to face contact or from records already held by the Council. It consequently includes studies involving questionnaires, focus groups, interviews, surveys and documentary analysis.

POLICY

2.1 Scope

The Council is keen to promote evidence-based best practice. It encourages research and research-related activity within services as a valuable tool for learning, user engagement and service improvement.

When considering whether information is routinely collected as part of normal practice, it is important to determine if the information required is additional to, or different from, that which is collected by the council's usual day to day business. If the analysis of data currently collected identifies a problem which will require further investigation, then the additional piece of work would fall under these arrangements.

Information stored within Electronic Case Management Systems constitutes management information that is routinely collected in the course of normal practice. The subsequent analysis of this information for the purpose of performance monitoring, audits of the quality of practice or for any other purpose similarly does not fall within the remit of these governance arrangements as it is regarded as business as usual rather than research. Ongoing quality assurance activity to evaluate the outcomes of services delivered as part of the services formal quality assurance process shall not fall within the remit of this policy.
To help identify whether an activity constitutes research in respect of Havering's Governance arrangements the flow diagram in Appendix 1 has been developed. Anyone who still remains unsure can contact Policy, Performance and Communities for further guidance, **research@havering.gov.uk**.

All research and research-related activity that falls within the scope and definitions of this policy shall commence only when:

- Sufficient information about the activity has been provided
- Written approval has duly been granted in accordance with the procedures set out in this policy.

This document draws on relevant sources but cannot exhaustively compile all the principles, requirements and standards that may be issued separately by individual bodies with an interest in research. In particular, it does not repeat requirements and expectations that apply generally and are not specific to health and social care research, such as professional standards or legislation regarding age of legal capacity, equality, health and safety, whistleblowing etc.

2.2 Applicability

This policy is applicable to any employee working within London Borough of Havering wishing to carry out research which requires access to Children and Adult social care services information, along with any information held by third party provider of care, Public Health or Housing subject to the exceptions outlined in this policy.

This policy is applicable to any individual/organisation requiring access to children and adult social care services information for the purpose of research, which may include:

1. University / Social work Students
2. Academic researchers
3. Clinical Commissioning Groups (CCG)
4. Voluntary agencies
5. Other Local Authorities

This policy is applicable to any organisation / individual commissioned by Children and Adults social care services or their third party provider of care to conduct research.

London Borough of Havering is unable to approve research due to be carried out in or through the NHS. Joint projects in conjunction with the NHS will require approval firstly from the NHS and once agreed the Local Authority Research Governance Panel (RGP) will have final sign off. This includes people known to mental health services and community health services.

2.3 Roles and responsibilities

The lead reviewer is the Assistant Director of Policy, Performance and Community. S/he will make an initial decision on the level of risk for each application.

The Council has an RGP which promotes a quality research culture across the council by recording, assessing and monitoring research and research related activity in line with this Policy and Procedure. The RGP will assess the proposal and will make the decision to approve/reject or modify a research proposal. All research, as defined within the Framework, will need to obtain approval from the RGP before proceeding with any research or preliminary research activities.

The RGP membership is made up of the Director of Adults Social Care (Caldicott Guardian), Director of Children's Services, Director of Public Health, the Principal Social Worker, the Head of ICT and Governance and the Assistant Director of Policy Performance and Communities. The Director of Adult Social Care will chair the RGP with the Assistant Director of Policy, Performance and Community deputising in their absence. Service managers or operational services may be requested on specific projects when required. Please refer to the Terms of Reference for the Research Governance Panel (Appendix 4).

Before allowing any researcher to approach their service users or carers, staff (whether employed directly by the council or indirectly through a contractor) should satisfy themselves that the researcher has the appropriate written approval from the RGP by checking the approval letter and confirming with the Assistant Director of Policy and Performance office **research@havering.gov.uk**.

Approval Process

3.1 Internal Applications

The member of staff proposing the research needs to undertake a Risk Assessment using the Risk Assessment Tool (Appendix 2) and complete the Research proposal form (Appendix 3) before the research can commence. Both documents will need to be sent to the Assistant Director of Policy, Performance and Community's Office for consideration.

Researchers who wish to undertake research into mental health will, in most instances, also need approval from an NHS research committee. Researchers should be aware that NHS Research Ethics Committees can take 60 days to process applications (http://www.hra.nhs.uk/about-the-hra/our-committees/research-ethics-committees-recs/).

All researchers must ensure they comply with the Data Protection Act 2018, the Freedom of information Act 2000 and the Equality Act 2010. Where appropriate they will also be required to provide a DBS check for the Council.

All researchers must ensure that the following documents, where relevant, are submitted with the research proposal form for consideration:

- Research Proposal Form (Appendix 3)
- Risk Assessment (Appendix 2)
- Any Ethics Committee approval letters
- Research Proposal
- Draft Participants information and consent sheet
- Research form templates i.e. survey questions.

Upon receipt of the required documentation, the applicant will be sent an email acknowledging receipt and confirming the indicative timescale for a decision to be reached.

The Council is strongly committed to meeting its duties under section 149 of the Equality Act 2010, which includes having due regard to:

I. the need to eliminate discrimination, harassment, victimisation and any other conduct that is prohibited by or under the Equality Act 2010;
II. the need to advance equality of opportunity between persons who share protected characteristics and those who do not, and;
III. foster good relations between those who have protected characteristics and those who do not.

As such, it is an expectation of the Council that all research considers the protected characteristics (age, sex, race, disability, sexual orientation, marriage and civil partnerships, religion or belief, pregnancy and maternity and gender reassignment), ensuring these are actively included wherever possible and that reasonable efforts are made to involve hard to reach groups or communities.

If the research is deemed Low Risk this will be emailed to the virtual Research Governance Panel (RGP) for clearance which should be granted within 10 working days. However if the research is not deemed low risk, then the RGP will need to convene and discuss the proposal in more detail. In these circumstances this could take up to 30 working days.

3.2 External applications

Any organisation / individual proposing the research needs to undertake a risk assessment using the risk assessment tool (Appendix 2) and complete the Research Proposal form (Appendix 3) before the research can commence. Both documents will need to be sent to the Assistant Director of Policy, Performance and Community's office for consideration (**research@havering.gov.uk**).

Researchers who wish to undertake research into mental health will, in most instances, also need approval from an NHS research committee. Researchers should be aware that NHS Research Ethics Committees can take 60 days to process applications.

All external researchers who are requesting one-to-one contact with vulnerable service users must be able to prove that they each hold current clearance from the Disclosure and Barring Service (DBS) before the council will be able to approve.

All researchers must ensure they comply with the Data Protection Act 2018, the Freedom of information Act 2000 and the Equality Act 2010. Where appropriate they will also be required to provide a DBS check for the Council.

All researchers must ensure that the following documents, where relevant, are submitted with the research proposal form for consideration:

- Research Proposal Form (Appendix 3)
- Risk Assessment Tool (Appendix 2)
- Research Proposal
- A copy of the final proposed questionnaire
- Participation information and consent sheet
- Any Ethics Committee approval letters

Upon receipt of the required documentation, the applicant will be sent an email acknowledging receipt and confirming the indicative timescale for a decision to be reached.

The Council is strongly committed to meeting its duties under section 149 of the Equality Act 2010, which includes having due regard to:

I. the need to eliminate discrimination, harassment, victimisation and any other conduct that is prohibited by or under the Equality Act 2010;
II. the need to advance equality of opportunity between persons who share protected characteristics and those who do not, and;
III. foster good relations between those who have protected characteristics and those who do not.

As such, it is an expectation of the Council that all research considers the protected characteristics (age, sex, race, disability, sexual orientation, marriage and civil partnerships, religion or belief, pregnancy and maternity and gender reassignment), ensuring these are actively included wherever possible and that reasonable efforts are made to involve hard to reach groups or communities.

All external research is deemed high risk, so the Research Governance Panel (RGP) will need to convene and discuss the proposal in more detail. In some circumstances this could take up to 30 working days.

All external applicants will have to provide evidence as to how they intend to comply with the Data Protection Act/GDPR and how they will indemnify the Council against any breaches of this legislation or any other relevant legal requirements such as the Human Rights Act.

Any external organisation will need to complete and sign a model agreement before commencing any work even if the Panel has approved the research as below. This agreement will include requirements of compliance with all relevant legislation and an indemnity from the researcher.

3.3 Approval

There are three possible outcomes for a proposal:

- Approved. A copy of the signed approval will be sent to the applicant and the research can commence.
- Approved subject to amendments. Where approval, subject to amendments, has been granted, the applicant will be contacted and advised of the amendments required. Once they have satisfactorily demonstrated how the amendments will / have been incorporated into the research, approval will be granted. If major amendments are recommended as part of the reviewing process the applicant may have to re-submit a revised proposal.
- Rejected. If the project is rejected the reasons for the decision will be explained.

The applicant can appeal against a decision to the Chief Operating Officer (COO) and their decision will be final.

There may be times when it is necessary to consult with the Havering Social Care Academy for Social Work and Social Care research, these will be on an ad-hoc basis and the Principal Social Worker will report any concerns to the Research Governance Panel.

Related documents

From May 2018 a new Data Protection Act implementing the General Data Protection Regulation (GDPR), has come into effect replacing the previous data protection law. It is intended to secure, improve and unify the way we collect, use and store customer data.

A new software application called Flowz, has been introduced within the Council to ensure we have a record of what information is collected and how this is transmitted across the organisation and to third parties that meets the GDPR requirements and this will be rolled out across the Council to ensure information and data already on file adhere to the new GDPR.

All researchers must ensure they comply with the Data Protection Act / GDPR, the Freedom of Information Act 2000 and the Equality Act 2010. Where appropriate they will also be required to provide a DBS check for the Council.

The Council has a duty to have regard to the UK Policy Framework for Health and Social care research since January 2015. A revised version was consulted on early in 2016, and the final version was released in November 2017 following the review of responses being agreed.

Principles that apply to all health and social care research

The following statement of principles serves as a benchmark for good practice that the management and conduct of all health and social care research in the UK are expected to meet.

Principle 1: Safety

The safety and well-being of the individual prevail over the interests of science and society.

Principle 2: Competence

All the people involved in managing and conducting a research project are qualified by education, training and experience, or otherwise competent under the supervision of a suitably qualified person, to perform their tasks.

Principle 3: Scientific and Ethical Conduct

Research projects are scientifically sound and guided by ethical principles in all their aspects.

Principle 4: Patient, Service User and Public Involvement

Patients, service users and the public are involved in the design, management, conduct and dissemination of research, unless otherwise justified.

Principle 5: Integrity, Quality and Transparency

Research is designed, reviewed, managed and undertaken in a way that ensures integrity, quality and transparency.

Principle 6: Protocol

The design and procedure of the research are clearly described and justified in a research proposal or protocol, where applicable conforming to a standard template and/or specified contents.

Principle 7: Legality

The researchers and sponsor familiarise themselves with relevant legislation and guidance in respect of managing and conducting the research.

Principle 8: Benefits and Risks

Before the research project is started, any anticipated benefit for the individual participant and other present and future recipients of the health or social care in question is weighed against the foreseeable risks and inconveniences once they have been mitigated

Principle 9: Approval

A research project is started only if a research ethics committee and any other relevant approval body have favourably reviewed the research proposal or protocol and related information, where their review is expected or required.

Principle 10: Information about the Research

In order to avoid waste, information about research projects (other than those for educational purposes) is made publicly available before they start (unless a deferral is agreed by or on behalf of the research ethics committee).

Principle 11: Accessible Findings

Other than research for educational purposes and early phase trials, the findings, whether positive or negative, are made accessible, with adequate consent and privacy safeguards, in a timely manner after they have finished, in compliance with any applicable regulatory standards, i.e. legal requirements or expectations of regulators. In addition, where appropriate, information about the findings of the research is available, in a suitable format and timely manner, to those who took part in it, unless otherwise justified.

Principle 12: Choice

Research participants are afforded respect and autonomy, taking account of their capacity to understand. Where there is a difference between the research and the standard practice that they might otherwise experience, research participants are given information to understand the distinction and make a choice, unless a research ethics committee agrees otherwise. Where participants' explicit consent is sought, it is voluntary and informed. Where consent is refused or withdrawn, this is done without reprisal.

Principle 13: Insurance and Indemnity

Adequate provision is made for insurance or indemnity to cover liabilities which may arise in relation to the design, management and conduct of the research project.

Principle 14: Respect for Privacy

All information collected for or as part of the research project is recorded, handled and stored appropriately and in such a way and for such time that it can be accurately reported, interpreted and verified, while the confidentiality of individual research participants remains appropriately protected.

Principle 15: Compliance

Sanctions for non-compliance with these principles may include appropriate and proportionate administrative, contractual or legal measures by funders, employers, relevant professional and statutory regulators, and other bodies.

Principles that apply to interventional health and social care research

In addition to the principles above, the following principles apply to interventional research only, i.e. where a change in treatment, care or other services is made for the purpose of research:

Principle 16: Justified Intervention

The intended deviation from normal treatment, care or other services is adequately supported by the available information (including evidence from previous research).

Principle 17: Ongoing Provision of Treatment

The research proposal or protocol and the participant information sheet explain the special arrangements, if any, after the research intervention period has ended (e.g. continuing or changing the treatment, care or other services that were introduced for the purposes of the research).

Principle 18: Integrity of the Care Record

All information about treatment, care or other services provided as part of the research project and their outcomes is recorded, handled and stored appropriately and in such a way and for such time that it can be understood, where relevant, by others involved in the participant's care and accurately reported, interpreted and verified, while the confidentiality of records of the participants remains protected.

Principle 19: Duty of Care

The duty of care owed by health and social care providers continues to apply when their patients and service users take part in research. A relevant health or social care professional retains responsibility for the treatment, care or other services given to patients and service users as research participants and for decisions about their treatment, care or other services. If an unmanageable conflict arises between research and patient interests, the duty to the participant as a patient prevails.

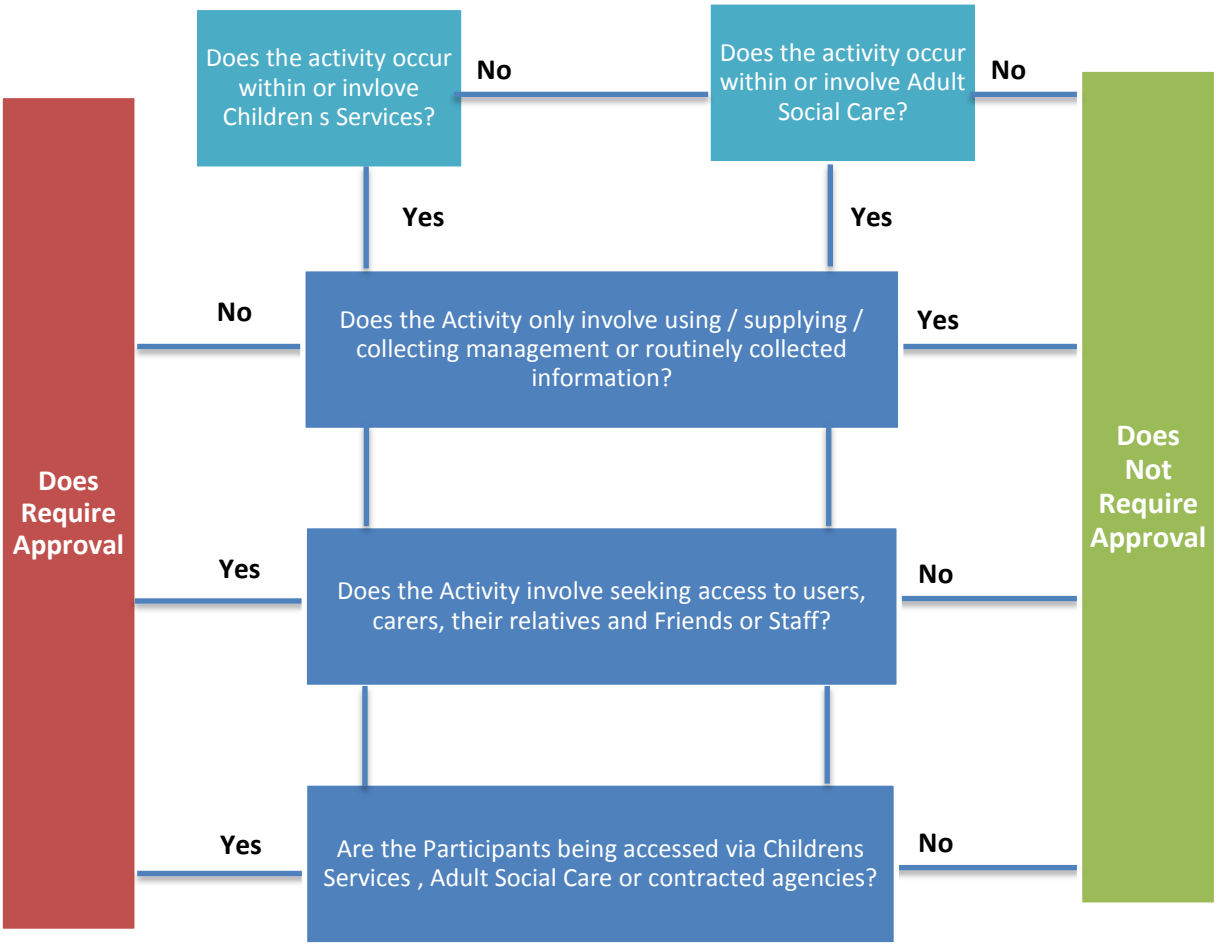
Dissemination and communication

In keeping with the standard in the Research Governance Framework on information, all researchers are expected to make copies of their findings available to the Council, once they have been through any internal review.

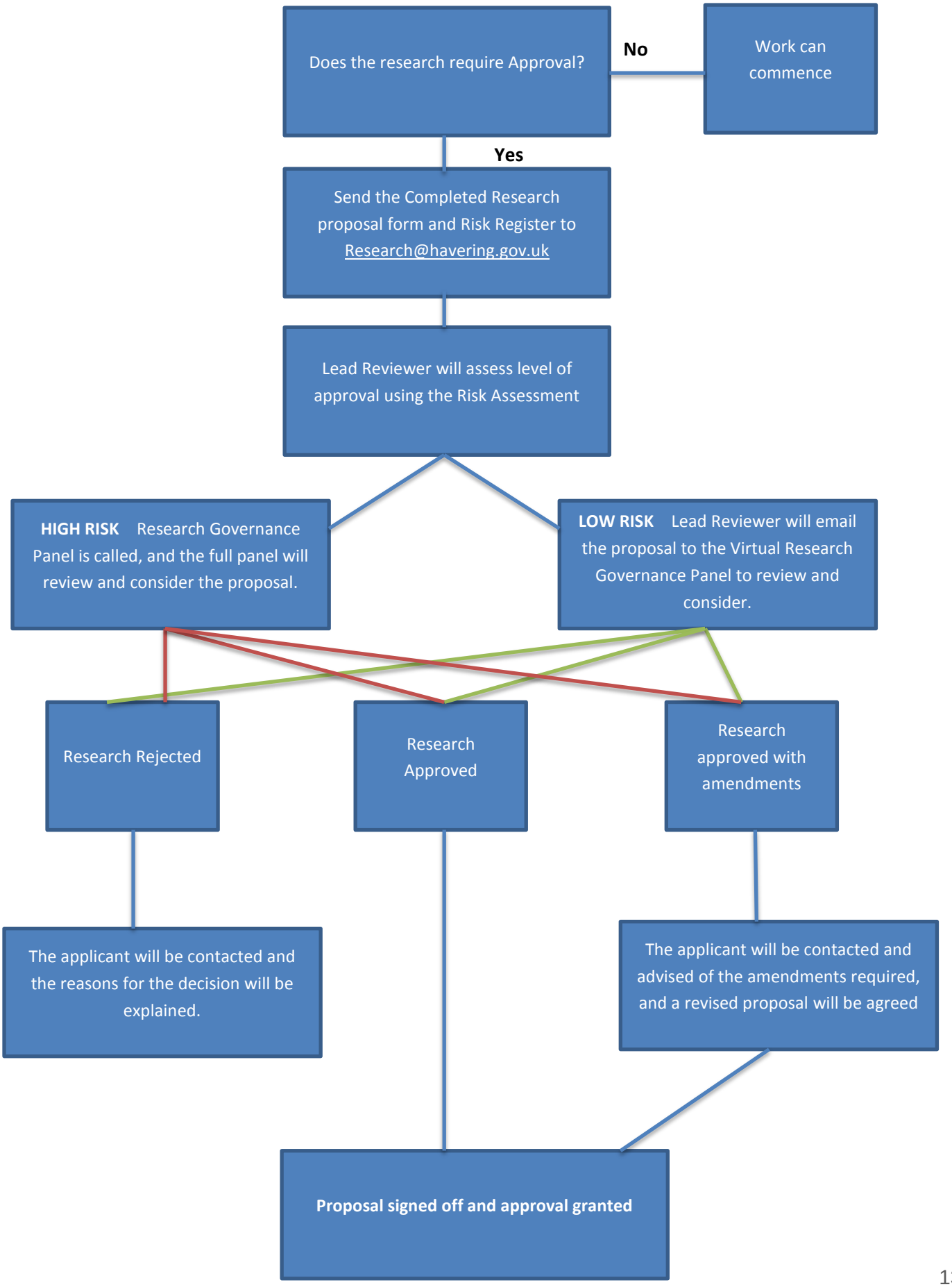
Upon completion, all research conducted will be disseminated and presented to SLT (Senior Leadership Team) within the Council, for their information. This will then prompt a discussion around whom should receive a copy of the findings and if any additional training needs have been identified who would be best to complete it.

APPENDIX 1: FLOWCHARTS

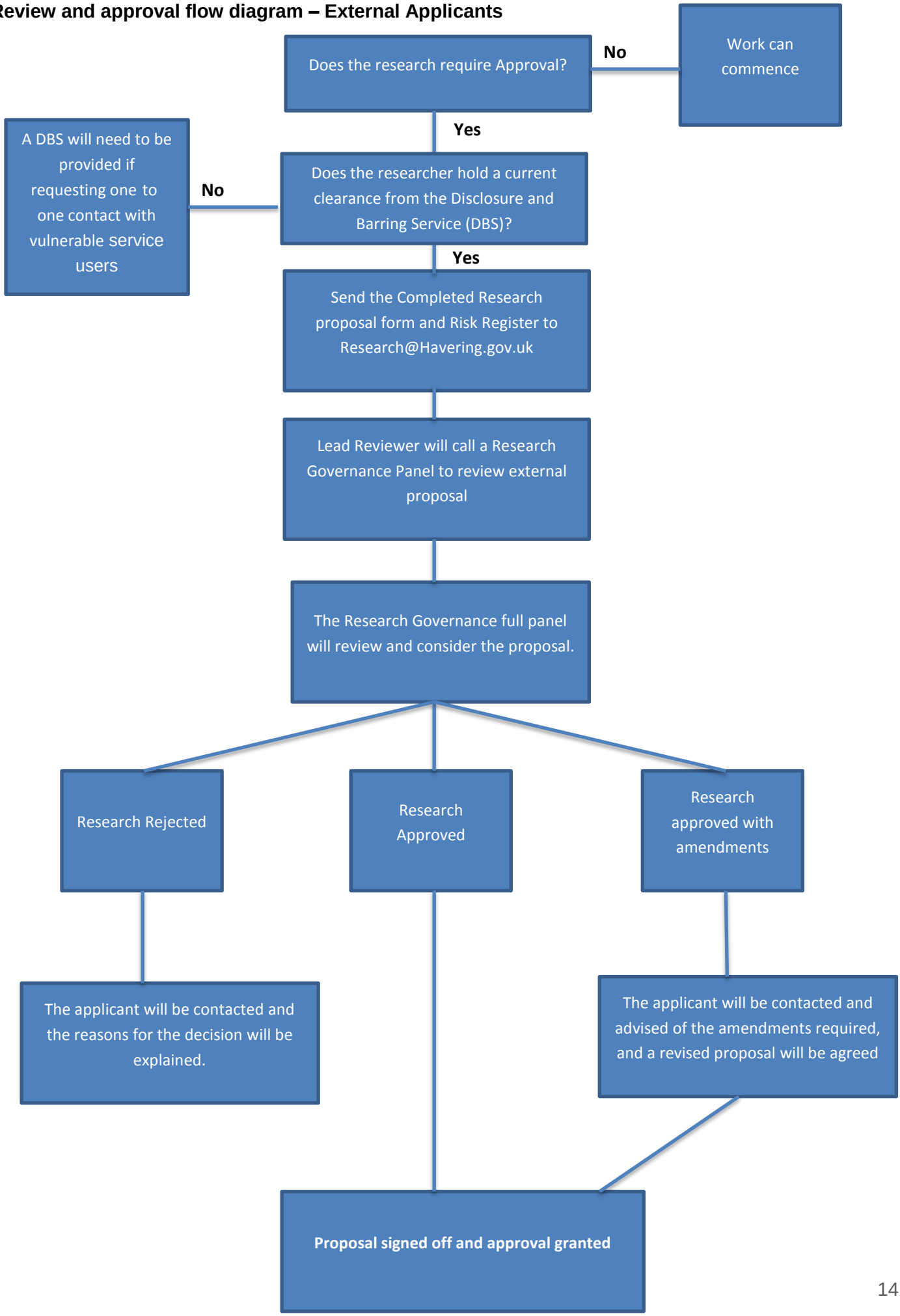
Diagram for clarifying whether research requires governance approval



Review and approval flow diagram - Internal Applicants



Review and approval flow diagram – External Applicants



Appendix 2: Risk Assessment Tool

Please complete the following Research Risk Assessment Tool, which the Research Governance Panel will use to review your assessment of risk as part of the approval process.

Title of Proposal_____

Name of Researcher: _____ Telephone Number: _____

Email Address:_____ Date of Application: Click here to enter a date.

Area	High Risk		Medium Risk		Low Risk	
Characteristics of Participants	Participants are unable to consent or withdraw from the study due to age or incapacity, communication issues arising from language, literacy issues, sensory or speech impairments.	☐	Informed consent and the ability to withdraw from the study is possible with support to overcome communication barriers e.g. advocates, translators / interpreters, signers or technology.	☐	The participant is capable of making a decision on consenting to partake in the research and has the ability to withdraw from the study fully.	☐
Details of assessed risk						
Competence of researcher	Researcher has little or no experience or knowledge of the topic being researched, the participants / data or the methods being used.	☐	Researcher reasonably well qualifies with experience and knowledge of two of the following three factors – topic of investigation, the participants or data and the methods used.	☐	Researcher is well qualified with experience and knowledge of the participants and research skills.	☐
Details of assessed risk						
Nature of information being sought	The topic or 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.	☐	The topic or information being sought includes items likely to be considered slightly sensitive or personal by some people, e.g. ethnicity, religion, income, age.	☐	The topic or information being sought does not focus on personal information at all e.g. opinions about a received service.	☐
Details of assessed risk						

Area	High Risk		Medium Risk		Low Risk	
Methods / nature of data collection	High level of face to face contact and / or interaction between investigator and participant e.g. person interviews, observations.	☐	Some face to face contact and interaction for limited amounts of time.	☐	No face to face interaction between researcher and participant.	☐
Details of assessed risk						
Appropriateness of methods and quality of research design	It is not known whether the methods are appropriate for the study and no advice has been sought concerning the methods. No additional resources have been made available to undertake the research.	☐	It is believed that the methods are the most appropriate for the study, although it is not known whether they have been used successfully in a similar project. Advice has been sought and resource implications considered.	☐	The methods are fully appropriate as they have been used successfully on similar, or the same, project previously and / or advice has been sought with regards to methods. The necessary resource are available to undertake the research.	☐
Details of assessed risk						
Relationship between researcher and Participants	Participants are personally known to the researcher and the researcher may have other duties or responsibilities towards all or some of the participants which may create a potential conflict of interest.	☐	Limited information about the participants will be available to the researcher to ensure participants cannot be identified.	☐	The participants are unknown to the researcher.	☐
Details of assessed risk						
Level of privacy for participants	Details of the information collected and participants involved will not remain confidential.	☐	All the information collected will remain confidential, although identifiable information will be collected as part of the study.	☐	Participants are anonymous and no identifiable information will be used or collected as part of the study, or participants have the option to remain anonymous if they so wish.	☐
Details of assessed risk						
Sensitivity of the topic	Study is likely to be extremely sensitive.	☐	Parts of the study may be sensitive.	☐	The study is not considered to be sensitive.	☐
Details of assessed risk						

Area	High Risk		Medium Risk		Low Risk	

Good practice Checklist	Yes	No	N/A
The research planned involved users in either the design, conduct, analysis and reporting of the research?	☐	☐	☐
Equalities issues are clearly addressed in the proposal?	☐	☐	☐
Where appropriate researchers hold a current DBS check?	☐	☐	☐
Forms and information to be used as part of the research meets the needs of the research participants and where appropriate are available in alternative formats.	☐	☐	☐
There are clear plans for distribution of findings to participants.	☐	☐	☐
The proposal confirms to the Data Protection Act/GDPR and the Caldicott standards.	☐	☐	☐
The proposed plan does not discriminate or place any groups at a disadvantage?	☐	☐	☐
Are the purposes of the research clearly stated?	☐	☐	☐
Does the research conform to these purposes?	☐	☐	☐
Are all researchers aware of their responsibility?	☐	☐	☐
Has the line manager / Head of Service approved for staff to be involved in the research?	☐	☐	☐

Appendix 3: Research Proposal Form

Please complete the Research Proposal form as fully as possible and in conjunction with the Risk Assessment tool. Please return documentation to the Assistant Director of Policy, Performance and Communities office on (research@havering.gov.uk) or call 01708 431950 if you have any queries or require assistance.

Lead Name:		Job Title:	
Organisation:		Team (Internal applicants Only)	
Email Address:		Phone Number:	

Title of Research:	
Start date: Start Date	Estimated End Date: Estimated End Date
What are the aims and objectives for the research?	
What do you want to identify/achieve with the research?	
How are you going to do the research?	
Are you aware of any other work being carried out in this area or any previous research? If so, please provide further details.	Yes ☐ No ☐ Further details
Does the project involve any other Local Authorities?	Yes 1 more ☐ Yes 2 More ☐ Yes 3 more ☐ Yes 4+ ☐ No ☐
If the project involves four or more local authorities has a proposal been sent and approved by the Association of Directors of Children's Service (ADCS) or the Association of Directors of Adult Services (ADAS)?	Yes ADCS ☐ Yes ADAS ☐ No ☐ N/A ☐

Who will be involved?	
Please provide details of the participants who will be involved (e.g. people with disabilities, older people, vulnerable children / Children in Need):	
Will stakeholders be involved in all stages of the study? (i.e. research that is carried out with or by people who use services, rather than research that simply gathers information from participants)	

Methodology and Techniques:	
What research methods will you use in collecting your data? (e.g. online survey, telephone survey, face to face interview, case file audit, focus groups etc.)	
Exactly what participant/user information is required? (Please provide as much detail as possible)	
Are the participants known to the researcher? (If yes, in what capacity)	Yes ☐ No ☐ If yes, in what capacity?
Will information gathered be made anonymous or pseudonymous?	Yes ☐ No ☐
Will participation in the research be incentivised in any way? (if yes, how?)	Yes ☐ No ☐ if yes, how?

Ethics and Risk:	
Is there any potential risk of harm to participants or yourself?	Yes ☐ No ☐
Where appropriate, will information be made available to participants in alternative format?	Yes Choose an item. No ☐
How have you addressed equalities issues as part of your project? (Where relevant has the research taken into account age, sex, disability, sexual orientation, race, marriage and civil partnerships, religion or belief, pregnancy and maternity, gender reassignment and language barriers in its design, undertaking and reporting?)	

How will you obtain explicit informed consent from your target group? (e.g. signed consent form) **Any templates will need to be agreed so please attach a copy to this proposal form**.	

Publication and Feedback:	
In what format will your findings be presented?	
Are you intending to publish your findings? **Please note** that any reports intended for publication must be approved by the RGP prior to publication	Yes ☐ No ☐
If you will be publishing your findings, where will the research be published?	

Supporting Documents:			
Please provide copies of the following documents (where appropriate) and any other accompanying information alongside the proposal form for the Research Governance Panel approval.			
ADCS / ADAS application/approval	☐	Applications to other approving bodies	☐
Approvals from other approving bodies	☐	Copies of any questionnaires/Surveys	☐
DBS checks	☐	Interview/focus group questions	☐
Participation information sheet /Consent forms	☐	Previous research	☐
Profile of lead researcher	☐	Researchers confidentiality agreement	☐
Research timetable	☐	Topic List for informal discussions	☐
Any other relevant information/documents. (Please specify)	☐		

For Panel use only
Comments/requirements for further information:

For internal applications only **(To be completed by Head of Service)**	
By returning this form electronically, I confirm that I have read the project proposal, proposal form and the associated risk assessment tool. I believe that with the measures proposed the project is a Low ☐ Medium ☐ High ☐ risk project. I also confirm that the conditions have been satisfied for this project, and I would support this work being undertaken.	
Name:	
Job Title:	
Date:	Click here to enter a date.

Appendix 4: Research Feedback Form

Please complete the Research Feedback form as fully as possible. Please return to the Assistant Director of Policy, Performance and Communities office on (research@havering.gov.uk) or call 01708 431950 if you have any queries or require assistance.

Lead Name:		Job Title:	
Organisation:		Team (Internal applicants Only)	
Email Address:		Phone Number:	

Title of Research:			
Actual Start date:	Start Date	Actual End Date:	Estimated End Date

What were your main findings from the research conducted?		
Do your findings differ from what you were expecting?		
Have any training needs been identified as part of your findings? (If so please specify)		
Have you sent copies of your findings to anyone else?	Yes ☐ No ☐	(If yes please Specify)
Is there any additional information you would like the Senior Leadership team within the Council to know? (If so please specify)		

I hereby agree that the above is the feedback received as part of the research conducted and I accept to be contacted to discuss any follow up, should it be required.

Signed: _____ Date: _____

Appendix 5: Research Governance Panel (RGP) Terms of Reference (ToR)

Purpose

The purpose of the RGP is to promote quality research culture across the Council by recording, assessing and monitoring research and research-related activity in line with the standards required by London Borough of Havering's Research Governance Framework.

The RGP ensures that all proposed research, whether initiated externally or internally within the organisation, meets the standards required by London Borough of Havering's Research Governance Policy and Procedure and to ensure all stages of the Research Governance Framework are carried out in accordance with the Councils Equal Opportunities Policy.

Membership

- Director Adult Social Care (Caldicott Guardian) (Chair)
- Assistant Director Policy, Performance and Community (Deputy Chair and Lead reviewer)
- Director of Children's Services (or suitable representative)
- Director of Public Health (or suitable representative)
- Principal Social Worker
- Head of ICT and Governance

Service managers of operational services; and other members and partners will be co-opted as necessary.

Responsibilities

1. To scrutinise research proposals, within agreed timescales to ensure that the research will meet the agreed RGF standards
2. To comment and / or suggest approval / rejection of the research proposal within agreed timescales.
3. To meet as necessary to consider research proposals identified in the risk assessment as 'high risk' projects.
4. To scrutinise reports of research findings prior to publication, if necessary

Approval Process

1. Research proposals should be sent to **research@havering.gov.uk** for the attention of the Assistant Director of Policy, Performance and Community.
2. External applicants will have to provide evidence as to how they intend to comply with the Data Protection Act/GDPR and how they will indemnify the Council against any breaches of this legislation or any other relevant legal requirements such as the Human Rights Act.
3. Upon receipt of the Research proposal form, the applicant will be sent an email acknowledging receipt and giving the indicative timescales for a decision from the RGP. If research is submitted by an external applicant without evidence as to how they intend to comply with the Data Protection Act/GDPR all further steps will be put on hold until such evidence is received.
4. The Assistant Director of Policy, Performance and Community, or a nominated deputy from the RGP will make an initial decision on the level of risk for each application.

a. Low / medium Risk – If the project is initially assessed as low risk the proposal will be emailed to the core members of the RGP for review and the decision for approval. In order to get approval a quorum of at least three panel members must review and agree the application.

b. If the research is initially assessed as high risk, a full RGP will need to be convened to discuss and approve the proposal. The decision will be made by majority view and, if necessary, the Chair will make the final decision.
5. The Lead reviewer will consider and address any concerns that panel members may have, and inform the proposer either that the research is approved and can go ahead, that further information is needed, or that the research has been rejected, and why.
6. The Policy and Research Lead within Policy and Performance will register the research on the corporate research Governance database to ensure duplication doesn't occur.
7. All external organisation will need to complete and sign a model agreement before commencing any work even if the Panel has approved the research.

Decision Making

The RGP will attempt to reach a majority view, but if this is not possible the chair's decision will be final.

The lead researcher will be invited to attend the RGP meeting at which their research is being considered, to enable further clarification, should it be required.

Meetings

The RGP will be a virtual panel and will only meet to consider high risk research proposal. Due to the fact that these meetings will only be scheduled once a high risk proposal has been submitted, every effort by the board members to attend the meetings must be made to ensure timescales are adhered to.

Administrative support will be provided by the Assistant Director of Policy, Performance and Community office. Decisions will be recorded and circulated to the RGP members within 10 working days of the meetings. Decisions will be published on the Councils website.

Complaints

Complaints about research will be dealt with through the Council's Corporate Complaints procedure.

Review of Terms of Reference

The terms of reference was agreed on (Insert Date). They will be revised annually and modified when deemed appropriate by RGF Panel members.