

Researchers – Process Notes

Introduction

1. The CCRC welcomes proposals from researchers who are interested in analysing CCRC data to further academic research relevant to the work of the CCRC. Whilst the CCRC cannot provide any funding to assist with proposed projects, the CCRC Research Committee is willing to discuss the possibility of providing written support for applications to funding bodies.

Application Process

2. Initial correspondence regarding research proposals should be forwarded to HR. HR will ask the researcher to submit a short outline proposal in the first instance for review by the Research Committee (maximum 3 pages). For suitable proposals, the Research Committee will request a full proposal and ask researchers to address any specific questions raised by the outline proposal. Requirements for outline proposals and full proposals are as follows:

3. Outline Proposal Requirements

- a. 3 page word document or text searchable PDF in Arial, font size 11pt with page margins of at least 2 cm;
- b. Researcher details to include host institution, supervisor details (where applicable) and names and roles of all project staff. Please include a short summary of researcher skills and experience;
- c. Key research questions and outcomes to include a descriptive title and a summary of the project written in non-technical language. The summary should include a general background to the project, focus and aims, methods and expected outcomes;
- d. Proposed timetable;
- e. Proposed/confirmed funding details.

4. Full Proposal Requirements (see guidance notes for full details)

- a. A word document or text searchable PDF in Arial, font size 11pt with page margins of at least 2 cm, maximum 12 sides;
- b. A detailed exposition of the research project's background and context, focus and aims, methods and expected outcomes;
- c. Indication of CCRC resources anticipated e.g. data required, CCRC staff input required and an estimate of number of days work on CCRC premises with outline dates where possible;
- d. A draft timetable to include project stages and proposed dates for milestone reports and a final report;
- e. Diversity and ethics issues (to include any Institutional Ethical Agreement);
- f. Proposed/confirmed funding details;
- g. Proposed dissemination of research;
- h. Signed acceptance of the CCRC's research conditions as follows:
 - i. To undertake background and security checks (see below);

- ii. To sign the CCRC's own confidentiality agreement (see below);
 - iii. To share any resulting databases/materials with the CCRC;
 - iv. To provide a copy of any proposed publications to the CCRC prior to publication and to allow the CCRC the opportunity to comment on any findings where necessary;
 - v. The CCRC has the right to review its support for any research projects where a researcher breaches the terms of its agreement with the CCRC or breaches any confidentiality requirements.
5. The Outline Proposal should be submitted in writing to HR, who will forward it to the Research Committee for discussion and amendment by agreement with the researcher(s) where necessary. HR will indicate to researchers whether the Research Committee requires a full proposal to be submitted for consideration.

Decision

6. The Research Committee will inform the CEO of their decision. As the CEO has overall accountability for the way in which the Commission spends its money it is then for the CEO to sign-off the decision of the Research Committee once any impact on CCRC resources has been assessed. HR will then inform the researcher of the decision.
7. Alternatively, the Research Committee will go back to the researcher(s) to request further information which is required before a decision can be taken.
8. Once the details of the Full Proposal have been agreed, HR will provide a copy of the Confidentiality Agreement for signing and security checks will be initiated. Any changes to the standard Confidentiality Agreement master will be discussed and approved by the Legal Adviser.

Background and security checks

9. Once a decision to allow the researcher access to the CCRC has been signed off by the CEO, HR will carry out the necessary background and security checks.
10. For all researchers a Baseline Personnel Security Standard (BPSS) check and DBS check will be carried out by the CCRC, which will include checking their ID and collecting appropriate references.
11. Researchers must be a UK National, Commonwealth Citizen, EEA national of other member states, Swiss national and certain non-EEA family member. Applicant should normally have been resident in the United Kingdom for at least three years preceding being a researcher at the CCRC. Other nationalities may also be accepted, but there should be no employment restriction in respect of their permit to stay in the United Kingdom. Evidence of this will need to be provided to the CCRC.
12. Identity Documents – the CCRC needs to see some documents to confirm your identity and right to work in the UK. The documents we will need to see are:
 - Current full passport

- Current full British driving licence, photo-card and paper counterpart
- Recent utility bill or bank statement dated within the last 3 months (original not a printed out copy).

Original document must be seen, as photocopies are not acceptable. If the researcher does not have any of these documents the researcher should speak to the CCRC to discuss other acceptable documents.

13. If the researcher will need to view case files and details, either on paper or on screen via the IT system, in addition to the above they will need a national security clearance, i.e. CTC clearance. If the researcher does not need to access to this material they may only need the Baseline Personal Security check (BPSS) and a police check. Decision will be made by the Departmental Security Officer.
14. Once the researcher has completed the forms for the NSV they will be sent an email with details of how to log-in to the online security questionnaire. Once this form has been submitted by the researcher the process will start. **Please note that the whole process can take some time to complete, and can in some cases take up to 8 weeks.** If the researcher has any concerns they can speak to the Business Administration team at the CCRC.

IT system access

15. Any applications for access to IT systems will be assessed on an individual basis. Access to any IT systems will only be granted if it is needed, and will be limited to what is required. Access to any IT systems must be authorised by the Director of Casework Operations, who will let HR know the level of access to the IT system required so they can make the necessary arrangements with IT.
16. Internal email will only be provided where necessary, but researchers should not be included in any Outlook email groups (e.g.: 'all casework' or 'all CCRC systems users').
17. No external email or internet facilities will be provided.
18. If access to any IT systems is provided the researcher will need to read and sign the User System Acceptance Declaration. The signed User Declaration will be filed along with the confidentiality agreement and any security clearance details and kept by HR.

Confidentiality agreement

19. All researchers will need to sign and return the CCRC's standard Confidentiality Agreement for Researchers.
20. The CCRC's confidentiality agreement provides that, in accordance with section 23 of the Criminal Appeal Act 1995, researchers undertake not to disclose information obtained by the CCRC in the course of its reviews other than in accordance with the exemptions provided for in section 24 of the

Criminal Appeal Act 1995. Also as part of the confidentiality agreement, researchers agree to respect the rights of all CCRC staff and applicants to the CCRC in accordance with the Data Protection Act 1998 and specifically that research will be anonymised to prevent the identification of individuals.

21. HR will ensure that this is done and will keep the signed copy on file.
22. The signed confidentiality agreement will be filed along with the User Declaration (if needed) and any security clearance details and kept by HR.

Induction

23. On the researcher's first visit to the CCRC a small induction programme will be set up, which will include:
 - A meeting with the Departmental Security Officer to discuss security
 - A brief overview of IT and IT security with a member of the IT team
 - An introduction to the Director of Casework Operations and / or appointed 'mentor' (usually a member of the Research Committee) to clarify roles and address any researcher queries
 - Completing on-line training "Responsible for information – General User" (on the Civil Service Learning system), before access is given access to any of the CCRC's information.

Office access

24. The researcher must let HR know how long and how often they plan to work at the CCRC office (e.g.: a couple of days a week for three months), and inform HR of any changes.
25. The researcher should inform the Business Administration Team of the specific dates when they are planning on working at the CCRC office so that arrangements can be made for an access pass and desk to be available.
26. Access to the office for researchers will only be during office hours of 9am to 5.30pm.
27. Access control cards to the CCRC office will only be issued to researchers if necessary, and when the appropriate security and background checks have been carried out.

Final report submission and presentation

28. The researcher must submit their final report to the CCRC Research Committee before final copy and before any publication so the Research Committee can comment if necessary.
29. A copy of the report will be retained by the CCRC.
30. The researcher will be asked to give a final presentation of their findings to CCRC staff at a mutually convenient time.