

# **The Hammersmith & Fulham Poverty and Worklessness Commission**

## **Fourth meeting**

**Courtyard Room, Hammersmith Town Hall**

**11am-12.30pm, 10 May 2016**

### **Agenda**

1. Introductions and apologies
2. Evidence review – preliminary feedback from Commissioners  
(Evidence review example – skills shortages for local businesses – Paper 1)
3. Emergent themes

### **For information**

4. Qualitative Research Programme (Paper 2)
5. Ethical framework (Paper 3)

### **Conclusion**

6. AOB
7. Date of next meeting – 12 July, meeting time likely to be 11am, venue tbc

# Evidence Review

## Skills shortages for local businesses

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### EVIDENCE REVIEW PAPER (APRIL 2016) P.7

#### **What we know:**

Employers in the borough highlight high level of skills shortage vacancies or existing skills gaps.

#### **Key findings**

- High proportions of local businesses reported skills shortages
- However there exists relatively low skills gaps within the borough.
- High proportion of job vacancies, high job density with more jobs than people of working age.
- The borough has a low proportion of residents in apprenticeships starts at all ages with total of 610 - ranked 283<sup>th</sup> nationally.

#### **What we don't know**

- What are the current skills gaps within the Borough and why local employers cannot fill them.
- Why are apprenticeship starts low?
- More details on the how apprenticeships are being used or promoted in the Borough

### THE BRIEF

1. **Review evidence from the document library provided** – both specific to the topic and everyone should have a look at the cross cutting research. Expand the list of evidence through your own investigation in addition.
  - What did the evidence review?
  - What we know and what we don't know
  - What was the sample size (e.g. 4000 survey responses, 30 people interviewed)
  - How was evidence evaluated?
  - What worked well and why (with evidence)?
  - What didn't work and why?
  - Conclusion; were there trends or themes emerging from the evidence you reviewed? For example, 6/8 pieces of research had success with an employer and resident jobs matching scheme.

**1. Describe best practice in this field**

Please provide examples of best practice (locally or nationally) with hyperlinks to the research.

**2. List current policy and provision in this field**

Provide information about the current policy environment (e.g. the threshold for social work interventions, or the age-range classified as 'child' for housing benefits) and current service provision, including a gap analysis or duplication of provision.

**3. Suggest questions for expert witnesses**

Having reviewed the evidence, what else do we need to know? Identify questions, and suggest to which expert witnesses you would put each question.

## SOURCES PROVIDED

LGiU

16 November 2015

[Apprenticeships: Delivering Skills for Future Prosperity – Ofsted Survey](#)

NIACE

February 2015

[No limits: from getting by to getting on](#)

NIACE

September 2015

[Apprentice charter: higher quality, better outcomes](#)

## ADDITIONAL REFERENCES

Apprenticeships.gov.uk. 2016. "[Apprenticeships: Get in. Go far](#)". [Accessed 2 May 2016]

Delebarre, J. 2016. [Apprenticeship statistics for England: 1996-2015](#). House of Commons Library: London. [Accessed 2 May 2016].

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Department of Business, Innovation and Skills (BIS). 2015. [Traineeships: First Year Process Evaluation: Executive Summary](#). [Accessed 1 May 2016]

Gambin, Lynn, and Hogarth, Terence. 2015. "Factors affecting completion of apprenticeship training in England." *Journal of Education and Work*: 1-24. doi: 10.1080/13639080.2014.997679.

Hyde, Martin, and Phillipson, Chris. 2015. "[How can lifelong learning, including continuous training within the labour market, be enabled and who will pay for this? Looking forward to 2025 and 2040 how might this evolve?](#)" Government Office for Science. London.

Learning and Work Institute. (2016). [CLOSE THE GAP: How London's Mayor can extend opportunity](#). [Accessed 2 May 2016].

Mayhew, Ken. 2015. "UK labour market policy then and now." *Oxford Review of Economic Policy* 31 (2):199-216. doi: 10.1093/oxrep/grv017.

Sloman, Martyn. 2014. "A long journey to a cul-de-sac: a reflection on UK skills policy." *Human Resource Development International* 17 (2):222-30. doi: 10.1080/13678868.2013.876257.

Springate, I., Atkinson, M. and Martin, K. (2008). [Intergenerational Practice: a Review of the Literature](#). (LGA Research Report F/SR262). Slough: NFER.

# Evidence Review

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## BACKGROUND

**Mayhew (2015)** analyses the policy background relevant to the evidence review on skills shortages.

He explains that:

- Employers are now at the centre of training policy – ‘employer ownership’ (Department for Business, Innovation and Skills)
- Funding to subsidise training by private employers has been severely reduced with serious implications for further education (FE)
- Funding directly to colleges for courses offered to adults has effectively been withdrawn – ‘a long established element of the education and training landscape [is] under considerable threat’ (p.210)
- UK productivity is low compared to other G7 countries; education and training are seen as the key to improving productivity
- Inequality has increased in recent years; thirteen million people were classified as being in poverty in 2011-12 (Joseph Rowntree Foundation 2013). A little over half of them were from working families.

### Conclusion

A lack of investment in skills development risks leading to a cycle of low level skills/poorly paid work/poverty. On a national level, low skills lead to low productivity.

**Sloman (2014)** also analyses policy. He makes a radical suggestion: the introduction of ‘a statutory obligation for workforce development alongside the other corporate obligations’ (p.223) through the Companies Act. Sloman considers that the 2006 update of the Act missed the opportunity to include ‘the need to have regard to the interests of the company’s employees’ (p.224).

Sloman questions the ‘skills gap’, highlighting a lack of employment opportunities and describes how ‘apprenticeships have now come to represent a golden age of vocational Training’ (p.225). However some employers are running ‘on the job training’ as if they were apprenticeships, devaluing apprenticeships.

### National Institute of Adult Continuing Education (NIACE) replaced in 2015

Some of the evidence for this review was gathered by NIACE. In July 2015, NIACE and the Centre for Economic and Social Inclusion (CESI) merged to form [The Learning and Work Institute](#) (L & W).

## APPRENTICESHIPS

### Definition

‘Apprenticeships are paid jobs that incorporate on and off the job training. A successful apprentice will qualify with a nationally recognised qualification on completion, ‘achievement’ of their contract.’ ([Delebarre, 2016, p.3](#))

**NIACE (September 2015) [Apprentice charter: higher quality, better outcomes](#)**

This brief aspirational text provides a rationale for the creation of an Apprentice Charter with an outline of the areas for development. The Apprentice Charter will be a 'kite-mark' for employers, 'designed and led by a steering group of employers and apprentices themselves.' (p.1).

**Findings**

The provenance of the data is not provided.

- One in three apprentices didn't know they were on an apprenticeship
- Gender differences – sectors follow gender stereotypes
- Only 13% of apprentices are disabled (16% of working age adults are disabled)
- 25% of applicants are from Black and Minority Ethnic (BME) groups, but only 9% of current apprentices are BME (15% of the general population is BME).
- Apprenticeships lead to an increase in productivity
- Government spending of £1 gets a return of £28 (BIS estimate)
- 19% of advanced apprenticeships (Level 2) progress to higher education

**The Charter**

A three phase process will be set up:

1. Measuring – employers' policies, post-apprenticeship destinations, and surveying apprentices' experiences
2. Outcomes – these are predicted to be positive – fairer access, higher quality, higher completion rates, increased productivity, etc.
3. Impact – predicted to be a 'higher skilled workforce, in more productive businesses, driving a vibrant growing economy' (p.3).

**Conclusion**

From the data at the start of the document (see 'Findings' above), it seems that more development and clearer guidelines are needed if apprenticeships are to meet these ambitious expectations.

**LGiU (November 2015) [Apprenticeships: Delivering Skills for Future Prosperity – Ofsted Survey](#)**

This report is based on an Ofsted Survey of 45 apprenticeship providers. It follows government plans to increase the number of apprenticeships by 3 million.

**Findings**

Apprenticeship provision can be poor because employers do not invest enough in apprenticeships. In some cases, employees' existing skills are accredited; no new learning takes place. Apprentices are not developing the advanced professional-level skills needed by businesses. The focus is on service sectors such retail and customer care.

Large employers dominate successful schemes. 'Trailblazer' apprenticeships (these are formulating standards for the government's reformed apprenticeships) are effective.

Sectors with a tradition of apprenticeships - motor vehicle, construction and engineering industries – run successful schemes.

## Successful skills development through apprenticeships: best practice (from report pp.3-4)

**Planning and preparation:** Learners complete a probationary period/traineeship before starting their apprenticeship, ensuring it is appropriate to the learner's needs. The learner has a clear understanding of the benefits of undertaking the apprenticeship and realistic and challenging timescales are established in advance.

**Effective, carefully structured training and assessment:** Skills are developed both at work and in off-the-job training. Learners receive progress reviews at appropriate intervals. Well-qualified teachers helped develop English and maths skills.

**Targeted and tested skills development:** Apprentices learn new skills, which grow increasingly complex over the course of the apprenticeship. Employers ensure they are given work that challenges them to apply these skills in the workplace.

**Clear routes for progression:** Apprentices progress into higher-level apprenticeships or jobs with higher pay or responsibility. Providers track the progression of apprentices on completion of their apprenticeship.

### Barriers to participation

- Small and medium sized enterprises (SMEs) offer few apprenticeships (16% in 2014)
- Schools often fail to promote apprenticeships; apprenticeships are not seen as a good alternative (the government goal) to a university education
- Provision for disabled apprentices is inadequate; reasonable adjustments are not made (consider the Equality Act 2010)
- Parents of children on apprenticeships do not qualify for child benefit/tax credit

### Summary of recommendations relevant to H&F

- Ensure that apprentices' skills are significantly enhanced (off-the-job training integrated with apprenticeships)
- Promote the benefits of apprenticeships – target 16-24 age group (older age-groups are also important in H&F; there is no upper age limit for apprenticeships)
- Focus on industries which need a skilled workforce
- Involve SMEs and cut red tape for them where possible
- Use traineeships and other vocational training as a route into apprenticeships
- Set up workable quality assurance systems – make employers accountable.

**Delebarre, J. 2016.** [Apprenticeship statistics for England: 1996-2015](#).

The latest statistics on apprenticeships (2014/15) are as follows:

- 499,900 apprenticeship starts (14% increase)
- 53% of apprenticeships starts were by women
- starts by people aged 25 and over remained higher than any other age category with 214,000 starts in 2014/15.
- the biggest increase (38%) was among those aged 60 and over
- most apprenticeships (60%) remain at Level 2, Intermediate (roughly equivalent to 5 GCSEs); Level 3, Advanced = 2 A Levels (36%) and Level 4, higher (higher education level) (4%)

### **Gambin and Hogarth (2015) *Factors affecting completion of apprenticeship training in England***

This is a careful quantitative study of the entire population (N=111,406) of apprentices in England in 2008-9 based on existing data, the Individualised Learner Record (ILR). The background review of studies into apprenticeships in several countries is also informative.

Factors affecting completion are important as around 20% of apprentices fail to complete their apprenticeships. This still appears to be the case in 2014-15 although exact data has been difficult to find. Non-completion has negative consequences on individual apprentices as well as their employers who have invested in them.

#### **Findings**

- BME and disabled apprentices are less likely to complete their apprenticeships
- women in apprenticeships where men dominate (eg electrotechnical) are less likely to complete
- those with a higher educational attainment when they start their apprenticeships are more likely to succeed
- where apprenticeships take place in areas where unemployment is relatively high, apprentices (Intermediate, Level 2) are less likely to complete
- apprentices over 25 are less likely to complete

Gambin and Hogarth also mention the impact of uncomfortable working environments, possible bullying and exploitation, and a mismatch between the apprentice and the apprenticeship, based on their review of the literature. These factors do not form part of the data they have studied.

They highlight the centrality of the role of the employer and training provider in investing in on and off the job training for their apprentices. Employers may become more selective to increase the chances of completion. It is challenging to increase the number of apprenticeships and improve quality whilst also widening participation.

#### **Summary of recommendations relevant to H&F**

- Offer support to all apprentices especially those from groups less likely to complete apprenticeships (eg BME, disabled, over 25)
- Liaise with employers to ensure that adequate training (both on and off the job) is provided.

#### **TRAINEESHIPS**

Traineeships target unemployed 16-24 year olds qualified below Level 3 (roughly equivalent to A Levels). Traineeships last for six weeks to six months and provide a route to work or apprenticeships (see Delabarre, 2015, for details). Employers are not required to pay trainees but trainees can receive benefits (Jobseekers' Allowance, Universal Credit, bursaries, etc.). Traineeships for 19-24 year olds are funded by the Skills Funding Agency. 'In 2014/15 (August to April), provisional data report 15,100 traineeship starts' (Delebarre 2015 p.4).

#### **Findings**

A report on outcomes suggests traineeships are generally positive for both trainees and employers ([BIS 2015](#)).

## Recommendations relevant to H&F

Encourage the creation and uptake of traineeships. They can lead to apprenticeships, work or post-compulsory education for trainees. They appear to be a good alternative for young people who are not motivated to go on to post-16 school/educational options.

## NIACE (September 2015) [No Limits: From Getting By to Getting On](#)

This document provides an overview of the situation highlighted by Mayhew (2015) which is summarised on p.3 above. OECD and UK government statistics are used. The goal is to reduce the number of low-paid jobs, upskill workers, and increase productivity and 'Break the low pay/no pay cycle' (low-skilled workers alternating between poorly paid jobs and unemployment).

## Summary of recommendations relevant to H&F

There is evidence that the following approaches have been effective or are promising:

- Offer skills development support to Work Programme participants through the Skills Funding Agency – See [commissioning plans](#) (unclear if implemented)

Note [Work Programme Statistics \(March 2016\)](#): one in four Work Programme participants achieves a sustained job outcome. L & W Chief Economist, Duncan Melville, comments: '2.2 million people ... have been on out of work benefits for 2 years or more. ... This requires greater spending on active welfare to work measures ... not 80% cuts in funding.'

- Run mid-life career reviews (for people aged around 50) – these appear to be effective – See the [Interim Report](#) for practical approaches and more information through the [L & W Mid-Life Career Review page](#).
- Use a 'Personal Adviser with a Skills Ladder approach and bringing together support for employers' – See [Plymouth and South West Peninsula City Deal](#) for examples of a range of measures to upskill and re-skill different groups
- Develop an 'Employment Retention and Advancement' scheme – pilots with 8,000 participants have been largely successful – see '[Employment Retention and Advancement Summary Report](#)' (published 2011 following a 2003 initiative focusing on single parents). Both financial incentives and training support (advisers) are needed.
- Set up several skills development strands in parallel – See the [Manchester City Deal](#) model (Section 3.3 Skills, p.12).

## LIFELONG LEARNING

Lifelong learning can be formal (structured and assessed), non-formal (structured but not credit-bearing) and informal (loosely structured, rarely assessed). It is beneficial to participants and society: 'increasing the skills of the UK workforce could generate an additional £80 billion for the economy and improve the employability of older workers' (Hyde and Phillipson 2015, p.4).

**Hyde and Phillipson. 2015.** [How can lifelong learning, including continuous training within the labour market, be enabled and who will pay for this? Looking forward to 2025 and 2040 how might this evolve?"](#)

This report looks at trends in lifelong learning and details the decline in participation especially in the over-50 age group. Continuing education and learning is key to supporting the retention of older workers as active contributors to the labour market. With an ageing population, this is essential.

## Findings

People from poorer backgrounds with lower educational attainment are less likely to participate in lifelong learning. Financial and time constraints as well as limited availability of workplace training all act as barriers.

### Summary of recommendations relevant to H&F

- consider rebalancing spending on adult learning across the life course
- consider entitlement to adult learning especially for poorer groups
- clarify the responsibilities of employers, H&F and individuals

The [Citizens' Curriculum](#) which is being piloted across the UK (for instance in the City of London) has the potential to include vulnerable adults in skills development.

**Intergenerational learning** – generations working together to develop skills and knowledge – a quick look at the literature ([Springate et al 2008](#)) suggests this has great potential.

## What we still need to find out

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More about traineeships and apprenticeships in H&F (qualitative and quantitative data)

More about lifelong learning in H&F (also qualitative and quantitative data)

More data is needed before identifying expert witnesses and considering questions for them.

## General recommendations

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### 1. ENSURE INFORMATION ON SKILLS DEVELOPMENT IS EASY TO FIND

The [website for apprentices and their employers](#) offers an upbeat 'shop window' to potential participants. The [National Careers Service](#) also promotes a range of user friendly approaches to help young people to check their skills and act to develop them. There are also additional sections under 'Advice for your situation' for [older workers](#) and those with [disabilities](#) among others.

### 2. PROMOTE QUALITY TRAINEESHIPS AND APPRENTICESHIPS

Partnerships between employers and trainers are essential. A recognition of the pivotal role of employers and support for them and trainees/apprentices is worthwhile.

### 3. ENCOURAGE COMMUNITY AND INTERGENERATIONAL INVOLVEMENT IN SKILLS DEVELOPMENT

Older H&F residents could support younger residents with skills development and mentoring/coaching but this has to be carefully organised.

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2 May 2016

# Hammersmith and Fulham Poverty and Worklessness Commission

## Qualitative Research Programme

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This Qualitative Research Programme including guidance for running interviews and focus groups is a first draft.

Please feel free to comment and suggest or make changes.

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23 April 2016

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## Background

The ultimate aim of our research is to recommend initiatives to lessen poverty and worklessness in Hammersmith and Fulham. We are exploring poverty and worklessness, gathering data so that our recommendations can be evidence-based. Ethical approaches are essential, especially as participants in our research may be vulnerable.

Our overarching research questions are:

1. What are the causes of poverty and worklessness?
2. How can we work towards the elimination of the causes of poverty and worklessness wherever possible?
3. How can we mitigate the impact of poverty and worklessness?

Sources of data to help answer these questions are:

- Documents (previous research and statistical data)
- Surveys
- Interviews
- Focus Groups

## Aim of this document

This document outlines the programme of qualitative data gathering and analysis which will form part of the Commission's work.

There are currently 10 Research Priority Themes identified in the Evidence Review paper and this document will provide ideas of how to conduct the case studies/research in line with the Ethical Framework.

The resources that exist within the Commission is invaluable and will assist in identifying participants for the research exercise and members will also lead on a number of interviews and focus groups.

## Qualitative Research

What is qualitative research? This is a summary adapted from <http://libguides.usc.edu/writingguide/qualitative>

1. **Naturalistic** – Qualitative studies explore real situations as they happen (or have happened). The researcher is open and investigates what's there without pre-judging or limiting possible findings.
2. **Emergent** – Qualitative studies are flexible so that if new paths emerge they can be followed.
3. **Purposeful** – Information rich cases for study (e.g., people, organizations, communities, cultures, events, critical incidents) are best. They throw new light on the relevant areas. Participants are chosen because they can provide valuable insights. Qualitative studies do not aim to claim that findings generally apply to all groups. (They are not generalisable).

Qualitative research can generate rich informative descriptions of the experiences of groups or individuals. Quantitative research generates numerical data which informs users about broad trends and patterns. For more information see: <http://atlasti.com/quantitative-vs-qualitative-research/>

## Priority Areas

The following priority areas have been identified by the Commission:

## 1. Improving Business Survival and Resilience and

## 2. Strengthen the economic base of the Borough

Most questions in these priority areas do not lend themselves to qualitative research. They are being investigated through a survey of businesses in Hammersmith and Fulham.

It is possible for one area of (1) above to be explored through focus groups and interviews:

- What do businesses and their employees think about Hammersmith and Fulham as a place to base their business and work?

### DATA COLLECTION

The programme of qualitative data collection in priority areas (1) and (2) can be determined by the data which emerges from the business survey data.

When the business survey data has been analysed, the Commission should decide if any of the conclusions drawn are based on insufficiently detailed data or data which is too superficial. If richer detail would be helpful, qualitative data can be gathered through focus groups and/or interviews targeting the business community and their employees.

## 3. Understand and address skills shortages for local businesses

There are three distinct areas here:

- i. the identification of skills shortages
- ii. the reasons for these skills shortages
- iii. approaches to addressing skills shortages.

The identification of skills shortages (i) is best explored through the business survey.

The reasons for the skills shortages (ii) will be multifaceted and complex. People claiming Job Seekers' Allowance (JSA) in the borough will be able to provide information to throw light on this question. Perspectives on apprenticeships and options for developing skills can also be explored. This information can be gathered through qualitative research using focus groups and interviews.

Approaches to addressing skills shortages (iii) will be based on the conclusions drawn from the data which emerges from (i) and (ii). Recommendations can then be made. Apprenticeships and adult education provision are mentioned as approaches to addressing skills shortages.

### DATA COLLECTION

The programme of qualitative data collection in priority area (3) will provide information on the reasons for skills shortages and options for developing skills. Focus groups and/or interviews with JSA claimants have the potential to yield this data.

## 4. Improve employment opportunities for those aged 35+

There is an overlap between (3) above and (4).

The areas specified are:

- i. Factors which lead to unemployment
- ii. Barriers which prevent the 35+ age group from seeking/finding work
- iii. Approaches which would enable this group to find employment.

### DATA COLLECTION

The programme of qualitative data collection in priority area (4) will provide information on the reasons for unemployment and approaches to enable this group to find employment. Focus groups and/or interviews with JSA claimants in the 35+ age group have the potential to yield this data.

## 5. Mental health – improve employment opportunities for those with long term conditions

The areas are:

- i. Factors which lead to unemployment
- ii. Barriers which prevent people with mental health issues from seeking/finding work
- iii. Approaches which would enable this group to find employment.

### DATA COLLECTION

Interviews and focus groups cannot be done without Research Ethics Committee approval if participants have limited capacity to provide informed consent.

Qualitative data for Priority Area (5) can be collected using open-ended anonymous questionnaires.

## 6. Improve the employment rates for people from BAME backgrounds

There is an overlap between (3) and (4) above and priority theme (6).

The areas specified are:

- i. Factors which lead to unemployment
- ii. Barriers which prevent those from BAME backgrounds from seeking/finding work
- iii. Approaches which would enable this group to find employment.

### DATA COLLECTION

The programme of qualitative data collection in priority area (6) will provide information on the reasons for unemployment and approaches to enable this group to find employment. Focus groups and/or interviews with JSA claimants from BAME backgrounds have the potential to yield this data.

## 7. Reduce the long term unemployment rate

There is an overlap between (3), (4) and (6) above and priority theme (7).

The areas specified are:

- i. Factors which lead to unemployment
- ii. Barriers which prevent the long term unemployed from seeking/finding work
- iii. Approaches which would enable this group to find employment.

### DATA COLLECTION

The programme of qualitative data collection in priority area (7) will provide information on the reasons for unemployment and approaches to enable this group to find employment. Focus groups and/or interviews with long term JSA claimants have the potential to yield this data.

## 8. Improve the attractiveness of part time work and elementary occupations

The areas specified are:

- i. Factors which make part time vacancies/elementary occupations unappealing to JSA claimants
- ii. Approaches which would make part time vacancies/elementary occupations more appealing

### DATA COLLECTION

The programme of qualitative data collection in priority area (8) will provide information on the reasons why part time work and elementary occupations are unappealing to JSA claimants. Focus groups and/or interviews with JSA claimants have the potential to yield this data.

## 9. Improve wellbeing for vulnerable older people in the Borough

The areas specified are:

- i. The issues faced by some older residents (eg loneliness, poor health, poverty)
- ii. Approaches to improving their wellbeing

### DATA COLLECTION

The programme of qualitative data collection in priority area (9) will provide information on the issues faced by some older residents. Information on these issues will underpin recommendations for measures to improve their wellbeing. Focus groups and/or interviews with vulnerable older people will yield this data.

## 10. Address affordability of local housing

Data gathering for this priority area does not lend itself to qualitative approaches.

## Collecting data on priority areas

Steps to take

1. Identify people who can provide us with information about the priority areas

Organisations which support the priority populations are likely to be in a position to put us in touch with participants to interview about the priority areas. All members of the Commission are invited to identify participants in the research.

These are:

- 35+ age group
  - BAME people
  - Long term unemployed
  - Vulnerable older people
  - Unemployed people with mental health conditions – survey only
2. Decide whether to run focus groups with naturally occurring groups or individual interviews or a mix of both; perhaps start with focus groups and ask if participants would like to participate in individual interviews
  3. Arrange focus groups and interviews
  4. Review and analyse the data which emerges to inform further focus groups and interviews.
  5. Summarise the conclusions drawn from each focus group or interview based on the data
  6. Review all the sets of data so that recommendations can be made.

## Focus Group Facilitators and Interviewers

Decisions we need to make:

Who will run the Focus Groups and interview participants?

### OPTIONS

- Independent research company
- Community champions
- In-house expertise
- Third sector – voluntary sector
- University students

- Qualified residents

Where will focus groups and interviews take place?

#### OPTIONS

- Where naturally occurring groups meet
- In Town Hall

## Surveys

Decisions we need to make:

What information do we want to gather through surveys?

Who will we send surveys to?

What (if any) incentives will we offer?

Who will design the surveys?

Note – surveys will generate both quantitative and qualitative data if text boxes are provided. Respondents need to be encouraged to provide qualitative data.

## Scope of the study: qualitative data

Around 200 participants in focus groups and interviews

Note – we need to ensure that participants in the study fit into priority profiles specified above.

## Training data gatherers

When we have decided who will gather the data, we need to decide what preparation they need and when and where any workshops can be run.

## Appendix: Information for Data Gatherers

Please ensure that you have studied the Ethical Framework before you gather any data.

## Interviewing

Please read this guidance before you do any interviewing or note-taking.

The general overview here is helpful:

<http://www2.open.ac.uk/students/skillsforstudy/conducting-an-interview.php>

Loosely-structured interviews are probably best for our Commission. You don't have to stick rigidly to the interview questions below as our interviews will work well if they're more like focused conversations.

### Running interviews

Pre-interview stage

Ensure that the setting for the interview is private and that you won't be disturbed.

Welcome the participant, thank them for coming, and introduce yourself and the note-taker. Make sure the participant is comfortable and has what they want/need (water/tea/coffee etc).

Give the participant the participant information sheet and offer to read it to her/him. Invite questions on the information and provide clarification as necessary. Also explain your particular area (see the Commission's Evidence Review papers for topics).

Get the participant to sign two copies of the informed consent sheet, one for her/him to keep and one for the Commission's records. Consent sheets will be stored to comply with Data Protection requirements.

The interview

It's important to create space for the participant to provide their own perspective on your area. Avoid leading questions – putting words into the mouths of participants. An example would be 'it must have been difficult for you when your business failed. Tell me about it.'

Use neutral language eg not 'can you tell me about any difficult/positive experiences' but 'can you tell me about your experience of ...?' Or 'how did you feel about ...?' 'Can you suggest anything which would make a difference?' etc. You can always follow up by asking for more detail about a specific event or incident. 'Could you tell me more about ...?'

If participants start talking about issues which aren't relevant, be sensitive, but bring them gently back to the topic which you're exploring with a follow up question.

The [advice provided by the Open University](#) is sound (same link as above).

Interview questions and prompts

Could you tell me about your experience of [relevant topic]?

Participants may want a more specific question – shape your questions around the sense of a story/narrative of the participants' experience – eg

Could you tell me how you started your business ... or

Could you tell me about the time when you started going to the Job Centre ...

What happened next?

What's happening at the moment?

Where do you want to go from here?

[Add specific questions about the priority area you are exploring –

Eg. What do you think would help you get a job?]

Follow up any relevant leads.

Could you tell me about any support you got from [relevant H&F service]?

How did you feel about that support?

We want to improve [relevant topic/service]. Do you have any suggestions?/What do you think we should do based on your experience?

Ending the interview

Is there anything else you'd like to tell me about your experience of [topic]?

Thank you very much for coming along to talk to us today.

We'll keep in touch about our work.

### Note-taking

We're using note-taking to record the data provided by participants. Note-taking means that the note-taker highlights what he or she considers worth noting down so the note-taker will shape the record of the interview. It's important that the note-taker and the interviewer have a shared understanding of the topic and the central areas. Take time to discuss this before the interview.

It would be best if note-takers could manage to use a lap-top for notes. If they prefer to make handwritten notes these need to be transferred to a lap-top/computer as soon as possible.

Handwritten notes should then be shredded and the computer files kept in a way which complies with Data Protection regulations.

Note-takers can fill in details like long pauses which suggest difficulty in responding to questions, laughter, etc. These non-verbal clues and information on the mood of the interview can be significant.

The note-taker and the interviewer should review the notes together immediately after the interview or as soon as possible after the interview. It's useful if they also make a few preliminary 'research blog' type informal comments about how the interview went and the main points which emerged.

### Running Focus Groups

Please read the guidance for interviews above and look at:

<http://sru.soc.surrey.ac.uk/SRU19.html>

#### Summary

Focus groups are difficult to run because you have to manage the group dynamics. The ideal number is around seven participants because note-taking is difficult if there are too many, but some organisations run larger focus groups. It's easier to build up a sense of group cohesion with under ten.

Naturally occurring groups also work well (eg support groups etc). They will already have their own established group dynamic. The Focus Group facilitator needs to take that into account and stop dominant group members from doing all the talking.

Follow the steps for interviews. You need to start by getting informed consent from everyone (see interviews above).

Also set a few ground rules – no interruptions, one person to talk at a time, everyone to get a chance to speak, no one to take too much space, try to speak clearly for the note-taker, etc.

Use the same interview questions and prompts as for the interview, adjusted for the group and topic.

## Hammersmith and Fulham Poverty and Worklessness Commission

### Information for participants

This information is to help you to decide if you would like to take part in an interview [focus group]<sup>1</sup>. If you agree to talk to us, you will be helping us to learn more about being short of money and out of work in Hammersmith and Fulham. We want to do a better job of supporting people in our area so the information you give us about your experience is important.

We'll ask you a few questions so we can learn more. You don't have to answer all the questions if you don't want to and you're free to stop at any time.

There will be a note-taker to write notes about what you say. Your name will not be in the notes. Everything you say will be kept confidential.

The information you give us will go into a report about poverty and worklessness in Hammersmith and Fulham. You will be able to read the report and we will let you know about any steps we take to improve things.

Please ask any questions you may have about the Commission and your interview [focus group]<sup>2</sup>.

---

<sup>1</sup> Delete as applicable

<sup>2</sup> Delete as applicable

## Hammersmith and Fulham Poverty and Worklessness Commission

### Informed Consent Form for participants in interviews [focus groups]

**Please complete this form after you have read the information sheet and/or listened to an explanation about the research.**

Thank you for your interest in taking part in the work of the Hammersmith and Fulham Poverty and Worklessness Commission. Before you agree to take part, the person organising the interview with you [focus group] must explain the project to you.

If you have any questions about the Information for participants or the explanation given to you, please ask the interviewer before you decide whether to join in. You will be given a copy of this Consent Form to keep and refer to at any time.

#### **Participant's Statement**

Please print your name: .....

- I have read or listened to the notes written above and the Information for participants, and understand what I'm being asked to do;
- I understand that if I decide at any time that I no longer wish to take part in this project, I can let the organisers know and leave immediately;
- I consent to the processing of my personal information for the purposes of this Commission;
- I understand that such information will be treated as strictly confidential and handled in accordance with the provisions of the Data Protection Act 1998;
- I agree that the work of the Commission has been explained to me to my satisfaction and I agree to take part in this study;
- I understand that my participation will be recorded by a note-taker and I consent to the use of this material as part of the project.

Signed:

Date:

## Surveys

Survey respondents also need information about the context of the research. It would therefore be helpful to include a short text at the start of the survey, for example:

Thank you for completing this survey. It will take you around ... minutes.

You will be helping us to learn more about being short of money and out of work in Hammersmith and Fulham. We want to do a better job of supporting people in our area so the information you give us about your experience is important.

Your name is not included with your survey responses. Everything you write will be kept confidential.

The information you give us will go into a report about poverty and worklessness in Hammersmith and Fulham. You will be able to read the report.

If you have any questions, please contact ...

If you're having problems with poverty or unemployment, please get in touch.

Mail:

Phone:

# Hammersmith and Fulham Poverty and Worklessness Commission Ethical Framework

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This Ethical Framework and guidance for running interviews and focus groups is a first draft.

Please feel free to comment and suggest or make changes.

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25 April 2016

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## Background

The ultimate aim of our research is to recommend initiatives to lessen poverty and worklessness in Hammersmith and Fulham. We are exploring poverty and worklessness, gathering data so that our recommendations can be evidence-based. Ethical approaches are essential, especially as participants in our research may be vulnerable.

Our overarching research questions are:

1. What are the causes of poverty and worklessness?
2. How can we work towards the elimination of the causes of poverty and worklessness wherever possible?
3. How can we mitigate the impact of poverty and worklessness?

Sources of data to help answer these questions are:

- Documents (previous research and statistical data)
- Surveys
- Interviews
- Focus Groups

## Ethics in research

Research should be beneficent – do good – and avoid maleficence – doing harm. Ethical research therefore benefits participants and protects them from harm. The Ethical Framework below is designed to guide all those involved in gathering data through interviews and focus groups so that a high standard of ethics can be observed throughout. Surveys are also mentioned.

## The Ethical Framework

Researchers need to:

1. Ensure that participants are fully informed of the research and their role in it
2. Gain written consent from participants before they begin collecting data
3. Invite participants to complete a diversity monitoring form (optional for participants)
4. Enable them to stop participating if they want to without any negative consequences
5. Ensure that the interview/focus group experience is as positive as possible
6. Ensure that data is anonymised but that a record of participants is kept so they can be traced
7. Ensure that confidentiality is observed
8. Ensure that Data Protection protocols are followed.

Participants in our research need to:

1. Participate on a voluntary basis
2. Understand the aims of the research and their role in the research
3. Provide written consent to participate (one copy to keep, one copy for the Commission)
4. Be free to stop participating any time they want.

Risks

1. Research participants who are unable to provide informed consent – those who are underage or unable to understand the information about the research.

Those with mental health issues should **not** be invited to interviews as Research Ethics Committee approval is needed. Surveys are a good alternative. Underage participants are not relevant to this research and should not be interviewed.

2. Limits to confidentiality (see the information in Appendix A below).

### Surveys

1. Survey respondents are free to choose whether they want to respond or not without adverse consequences if they decide not to complete the survey
2. Surveys are anonymous.

## Hammersmith and Fulham Poverty and Worklessness Commission

### Information for participants

This information is to help you to decide if you would like to take part in an interview [focus group]<sup>1</sup>. If you agree to talk to us, you will be helping us to learn more about being short of money and out of work in Hammersmith and Fulham. We want to do a better job of supporting people in our area so the information you give us about your experience is important.

We'll ask you a few questions so we can learn more. You don't have to answer all the questions if you don't want to and you're free to stop at any time.

There will be a note-taker to write notes about what you say. Your name will not be in the notes. Everything you say will be kept confidential.

The information you give us will go into a report about poverty and worklessness in Hammersmith and Fulham. You will be able to read the report and we will let you know about any steps we take to improve things.

Please ask any questions you may have about the Commission and your interview [focus group]<sup>2</sup>.

---

<sup>1</sup> Delete as applicable

<sup>2</sup> Delete as applicable

## Hammersmith and Fulham Poverty and Worklessness Commission

### Informed Consent Form for participants in interviews [focus groups]

**Please complete this form after you have read the information sheet and/or listened to an explanation about the research.**

Thank you for your interest in taking part in the work of the Hammersmith and Fulham Poverty and Worklessness Commission. Before you agree to take part, the person organising the interview with you [focus group] must explain the project to you.

If you have any questions about the Information for participants or the explanation given to you, please ask the interviewer before you decide whether to join in. You will be given a copy of this Consent Form to keep and refer to at any time.

#### **Participant's Statement**

Please print your name: .....

- I have read or listened to the notes written above and the Information for participants, and understand what I'm being asked to do;
- I understand that if I decide at any time that I no longer wish to take part in this project, I can let the organisers know and leave immediately;
- I consent to the processing of my personal information for the purposes of this Commission;
- I understand that such information will be treated as strictly confidential and handled in accordance with the provisions of the Data Protection Act 1998;
- I agree that the work of the Commission has been explained to me to my satisfaction and I agree to take part in this study;
- I understand that my participation will be recorded by a note-taker and I consent to the use of this material as part of the project.

Signed:

Date:

## Surveys

Survey respondents also need information about the context of the research. It would therefore be helpful to include a short text at the start of the survey, for example:

Thank you for completing this survey. It will take you around ... minutes.

You will be helping us to learn more about being short of money and out of work in Hammersmith and Fulham. We want to do a better job of supporting people in our area so the information you give us about your experience is important.

Your name is not included with your survey responses. Everything you write will be kept confidential.

The information you give us will go into a report about poverty and worklessness in Hammersmith and Fulham. You will be able to read the report.

If you have any questions, please contact ...

...

(At end of survey we will include contact details for respondents who may need support or help from H & F).

## Appendix A

### Guidelines from the Economic and Social Research Council (ESRC)

#### Work with potentially vulnerable groups

**We have decided to avoid working with children and people with mental health issues so we don't need DBS clearance.**

In most cases, researchers working with vulnerable people will need to secure Disclosure and Barring Service (DBS) clearance (<https://www.gov.uk/government/organisations/disclosure-and-barring-service>). The DBS offers organisations a means to check the criminal record of researchers to ensure that they do not have a history that would make them unsuitable for work involving children and vulnerable adults. The responsibility for ensuring that applicants are suitable to work with such groups ultimately rests with individual employers. In some cases other individuals (such as a head teacher or social services manager) may be better placed to provide information on necessary disclosures (see the Safeguarding Vulnerable Groups Act 2006 (<http://www.legislation.gov.uk/ukpga/2006/47/contents>); Rehabilitation of Offenders Act 1974 (<http://www.legislation.gov.uk/ukpga/1974/53>); the Rehabilitation of Offenders Act 1974 (Exceptions Order 1975 (<http://www.legislation.gov.uk/uksi/2013/1198/contents/made>)).

#### Limits to confidentiality

Researchers should, when eliciting consent, make clear the limits to confidentiality, particularly when working with potentially vulnerable individuals or groups - for example when undertaking research with children, families and vulnerable populations, or individuals involved in illegal activities. If for example an interview reveals that a participant or another person identified in the interview is in significant danger, the researcher will be obliged to take action in response to that disclosure. Researchers should have established procedures, necessary systems and appropriate contacts in place to activate help and support in the event of a disclosure. If the researcher feels it is necessary to break confidentiality, the participant should normally be informed what action is being taken by the researcher, unless to do so would increase risk to those concerned. In projects collecting data on criminal behaviour, it may be necessary to explain to participants that confidentiality will be preserved as far as the law permits. Any disclosures of otherwise confidential information should be fully justified in the public interest and researchers must be able to defend their actions fully, for example to avert serious harm, and disclosures should only be made to parties empowered to act on the information.

From <http://www.esrc.ac.uk/files/funding/guidance-for-applicants/esrc-framework-for-research-ethics-2015/> p.24.

#### Assessing Risk

What is the meaning of risk?

Proposals should be considered in the context of the risks of the project. Ethics scrutiny should be proportionate to the level of risk and appetite for risk in the specific context of the research proposed and its potential benefits. Risk is often defined by reference to the potential physical or psychological harm, discomfort, stress or reputational risk to human participants (and participating groups, organisations and funders) that a research project might generate. This is especially pertinent in the context of health-related research. But, in addition, social science raises a wider range of risks that needs to be considered by RECs. These include risk to a participant's personal social standing, privacy, personal values and beliefs, their links to family and the wider community, and their position within occupational settings, as well as the adverse effects of revealing information that relates to illegal, sexual or deviant behaviour. Research, though it may carry no physical risk, can be disruptive and damaging to research participants as individuals or to whole communities or categories of people, such as those with HIV infection.

From <http://www.esrc.ac.uk/files/funding/guidance-for-applicants/esrc-framework-for-research-ethics-2015/> p.27

### Guidelines from Anglia Ruskin University

#### Research projects and disclosure of information

The decision as to whether to disclose can arise in a variety of situations, for example:

... when illegal activities by participants come to light.

The issue of disclosure becomes even more complex in the area of illegal activities. When a researcher is working with certain groups of participants, for example people who take illegal drugs, this issue will arise. Clearly, a great deal of valuable research takes place within these areas and the issues must be carefully addressed. In general, there is no legal obligation to report an offence (except in certain terrorism and money laundering cases), but careful consideration of the Serious Crime Act 2007 should be undertaken by the researcher. This Act deals with offences such as assisting or encouraging an offender, which may impose a duty to act in order to avoid liability. Legal advice may need to be sought.

...

[It's important to weigh] up the various factors ...

This will serve to reduce the risk to the researcher, as problems are less likely to occur later on.

Researchers also need to ensure that they are complying with any professional codes of practice and any policies within the organisation in which they are working.

When working with a group of participants where disclosure is likely to occur, there should be a clause on the information sheet stating that if certain details are revealed, they will need to be passed onto third parties.

From: <http://web.anglia.ac.uk/anet/rdcs/ethics/applicants/apply/Research%20projects%20and%20disclosure%20of%20information.pdf> (Scott, Julie, 2010)

### Guidance from the British Psychological Society (BPS)

#### Gaining valid consent for participation in research

If any adult participant could find it difficult to give informed consent, because of problems understanding the information provided, the BPS suggests:

Where competence to consent is in question, it should be assessed using a systematic procedure such as engaging the potential participant in a dialogue to explore their understanding of what it is that they are consenting to. This process may usefully include offering a choice to which the response indicates whether the individual is capable of making decisions based on likely outcome.

From

[http://www.bps.org.uk/system/files/Public%20files/code\\_of\\_human\\_research\\_ethics\\_dec\\_2014\\_inf180\\_web.pdf](http://www.bps.org.uk/system/files/Public%20files/code_of_human_research_ethics_dec_2014_inf180_web.pdf)