PRINCIPLES GUIDING BEST PRACTICE:

Leadership: Have a strategy, nominated lead and register

Governance: Comply with the organisation's information governance requirements and policies

Evaluation Design: Ensure that you are conducting an evaluation using the right tools for the job

Ethical Review: Continuously review your evaluation for ethical issues and risks throughout

Safeguards: Ensure participants are protected

Evaluator Capacity and Conduct: Ensure that the evaluator has the required skills and competencies (or support) to undertake the evaluation

Evaluability Assessment: The benefits of conducting the evaluation outweigh the risk

Evaluation Works

A toolkit to support commissioning of health and care services

For more information or support visit:
http://www.nhsevaluationtoolkit.net/contact-us/

Or for more information about good practice in research and evaluation in health and social care visit: http://www.hra.nhs.uk/

Or for a handy guide to good practice in evaluation and evaluation capability framework visit UK Evaluation Society: https://www.evaluation.org.uk/index.php/about-us/publications

This leaflet has been produced by the West of England Evaluation Strategy Group (hosted by NIHR CLAHRC West) to support the spread of and best practice in evaluation across the region. With thanks to members of the Ethics Working Group and other contributors involved in the development of these guidelines. (May 2017)

For further guidelines on Best Practice in the Ethics and Governance of Service Evaluation, go to:
http://clahrc-west.nihr.ac.uk/evaluation/

University of BRISTOL

National Institute for Health Research

University Hospitals Bristol NHS Foundation Trust

Bristol Health Partners

NHS Health Research Authority

2015 International Year of Evaluation

West of England Academic Health Science Network

APCRC Avon Primary Care Research Collaborative

UWE Bristol University of the West of England

NHS Avon and Wiltshire Mental Health Partnership NHS Trust

This leaflet is available electronically and in printable format on the CLAHRC West website: search on 'Evaluation Guidelines' or visit http://clahrc-west.nihr.ac.uk/evaluation/

Best practice in the ethics and governance of service evaluation:

A quick guide for evaluators and commissioners of evaluation in health and social care

Definition and uses of 'Service Evaluation'

'A study in which the systematic collection and analysis of data is used to judge the quality or worth of a service or intervention, providing evidence that can be used to improve it' Definition adapted from the West of England Evaluation Strategy Group.'

Service evaluation is used for new and existing services across the spectrum of effectiveness, safety and experience

Leadership, Roles and Responsibilities

Hold a register of projects to avoid duplication and to check compliance with organisation policies and procedures, eg information governance

Ensure internal peer review is conducted for ethical issues (and risks), methodological rigour, and acceptability to stakeholders such as staff, patients and their families

Quality assure the planned approach to ensure that it is proportionate, feasible, and has a clear purpose which is linked to the organisation's priorities and has an identified lead responsible for its delivery and dissemination of findings

Check contractual and insurance responsibilities are adequate

Make judgements as to whether the evaluator is suitable to conduct the evaluation with the population under study

Convene a wider reference group to discuss and approve complex evaluations

Ensure there are clear roles and responsibilities for the evaluation

Design and Review

Ensure that is is an evaluation and not research, as defined by the HRA

Ensure the evaluation is co-designed, delivered and produced with all the right stakeholders

Evaluator Conduct
Ethical Review
Leadership, Roles & Responsibilities
Safeguards
Design & Review
Equitable & Diverse

Further useful resources can be found on the CLAHRC West website. These include:

- **Quality Assurance Checklist**
- **Risk & Issues Assessment Guide**
- **Register of Evaluation Projects**
- **Guidelines for Patient & Public Involvement in Evaluation**

Visit
http://clahrc-west.nihr.ac.uk/ evaluation/

Ethical Review

Conduct review of the evaluation for ethical issues and risks from design, delivery and dissemination

Keep a record of ethical issues, risks and lessons in your risks and issues register and lesson log

Check with your organisation as to whether you require peer review from a committee or individual

Quality assure your planned evaluation against an established checklist

Ensure good practice in regard to patient and public involvement

Safeguards

Seek appropriate informed consent taking into account risk, vulnerability, culture, language, age and capacity

Seek explicit verbal or written consent where participants are identifiable or where their identifiable data is involved (or qualitative methods are being used)

Ensure that information provided is accessible and takes account of potential sensitivities and emotional impact

Ensure that all information is clear and that participation is voluntary and that participants can withdraw at any time without adverse consequences

Conduct a risk benefit analysis to ensure the benefits of the evaluation outweigh the risk

Evaluator capabilities and conduct

Ensure that the evaluator has the required skills and competencies (or support) to undertake the evaluation

Ask the evaluator to declare any conflict of interest on an appropriate 'declaration of interests' form

Ensure that the evaluator is mindful of and responds to ethical issues throughout the evaluation in accordance with a professional code of conduct or specific guidance