UK Statistics Authority

E·S·R·C
ECONOMIC & SOCIAL RESEARCH COUNCIL

Fourth Meeting of the
Administrative Data Research Network Board

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Agenda and Papers

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Monday 19 January 2015

10:00 – 14:00

Board Room, UK Statistics Authority
Drummond Gate, London

ADMINISTRATIVE DATA RESEARCH NETWORK BOARD

Minute

Monday, 19 January 2015
Boardroom, Drummond Gate, London

Present
Board Members
Professor David Hand (Chair)
Professor Peter Elias (Deputy Chair)
Dr Fiona Armstrong
Mr Jonathan Athow
Dr Andrew Garrett
Mr Colin Godbold
Mr Roger Halliday
Mr Glyn Jones
Professor Denise Lievesley
Mr John Pullinger
Mr Luke Sibieta
Ms Penny Young
Ms Melanie Wright
Mr Guy Goodwin

UK Statistics Authority
Mr Robert Bumpstead
Dr Simon Whitworth

Economic and Social Research Council (ESRC)
Ms Vanessa Cuthill

Other Attendees
Mrs Trazar Astley-Reid (ADS) (for item 8)
Professor Ian Diamond (via video conference for item 9)
Mr Nicky Tarry (for David Frazer)

Apologies
Dr Norman Caven

1. Matters arising from previous meeting
1.1 The meeting reviewed progress with actions from the previous meeting held on 29 September.

2. Chair's Report
2.1 The Chair reported that he had met with the Board Secretariat and the ESRC to agree provisional forward agendas for future meetings. Members of the Board were invited to send any comments on the proposed forward agendas to the secretariat.

2.2   It was reported that the UK Statistics Authority Board have agreed in principle the formation of a National Statistician's Advisory Data Ethics Committee (NSDEC) which will consider the access, use and sharing of data. Its role will include the ethical assessment of research proposals from government and third sector researchers requiring access to the Administrative Data Research Network (ADRN), and not covered by other ethics committees. Work is currently being progressed to investigate the options for ethical assessment by NSDEC of research proposals from government and third sector researchers requiring access to the Administrative Data Research Network (ADRN).

2.3   The Chair reported that on 1 December the Administrative Data Research Centre - Northern Ireland (ADRC-NI) hosted a show case event where Professor Elias gave a presentation which set the scene for the network and highlighted the role of the ADRN Board.

2.4   On the 5 December the UK Statistics Authority hosted an event about the statistical potential of administrative data at the RSS. Tanvi Desai, co-director of the Administrative Data Service (ADS), gave a presentation on increasing access to administrative data through the ADRN and Professor Hand chaired a panel discussion.

3.   Highlight Report [ADRN(15)01]
3.1   Ms Wright introduced the highlight report for the period between mid September 2014 and mid January 2015. It was reported that the network had received over 30 enquires since it launched on the 25 November. The ESRC had highlighted the ADRN in its funding call for the Secondary Data Analysis Initiative (SDAI) which had led to a number of enquiries from potential researchers.

3.2   The meeting heard that a second lay person needed to be appointed to the Approvals Panel.

3.3   It was agreed that RAG status should be reported for items such as information security and data owner and engagement strategy so that the Board could be informed about how these important areas were progressing.

3.4   The Board noted that there were differences in how quickly projects from the different Administrative Data Research Centres (ADRCs) were progressing. The ADRC-NI has had many projects approved quickly whilst some of the projects from the ADRC-E are taking longer to be progressed to approval stage. The Board were informed that this may be a result of when projects were submitted to the Approvals Panel. As the Approvals Panel has developed, project approval has progressed more smoothly. It was reported that the Approvals Panel was now functioning well.

3.5   The meeting noted that the highlight report showed that the ADRC-S currently had no live projects. It was recognised that in Scotland there are a number of other environments which researchers can use to get access to record level administrative data and that this may be having an impact on the number of potential projects being submitted by researchers in Scotland.

3.6   The highlight report indicated that HMRC had quoted a large potential charge to access data for one project. HMRC are looking into this quote and are trying to find a solution. The Secretariat will liaise with HMRC and keep the Board informed.

3.7 The Board requested that, at the ADRN Board meeting on 3 March, they are provided with a breakdown of potential projects by the sectors from which they originate. An estimated completion date or indication of the stage the project would also be helpful. This would allow the Board to consider the network's progress strategically.

3.8 It was reported that the ADS had held preliminary meetings with data owning departments. The ADS are now liaising with specific departments about individual projects.

4.   Legislative Issues [ADRN(15)02]
4.1 Professor Elias gave an update on legislative issues. This included updates on data sharing legislation in England and Wales and EU data protection regulation.

4.2 The Board heard that the Cabinet Office "open policy making" process was coming to an end. The result of this work would be a discussion paper and there was no expectation that this would be progressed further until after the General Election.

4.3 It was reported that HMRC can potentially progress their proposed data sharing legislation without the other strands of the Cabinet Office data sharing proposals. HMRC are keen to support a more rational approach to data sharing.

4.4 It was reported that on 4 December 2014 Professor Elias represented the ESRC at a round table discussion in Brussels. This was arranged to present an opportunity for the European health and social science research community to put their concerns about proposed European Parliament amendments to Jan Philipp Albrecht, the rapporteur for the European Parliament LIBE Committee (European Committee for Civil Liberties, Justice and Home Affairs). It was reported that this had been a positive meeting and that the Justice and Home Affairs Council have subsequently amended the Commission's initial draft. The Board heard that these amendments would be considered as part of a trilogue between the Council, Parliament and the Commission.

4.5 It was suggested that, although this news was positive, the pressure needs to be maintained and that the social science research community should collaborate with other European countries to ensure their voice is heard in the same way as health scientists have. The UK Data Forum and the German Data Forum plan to collaborate to make the voice of the social science research community heard. It was also recommended that the Consortium of European Social Science Data Archives (CESSDA) could be involved in this process. Professor Lievesly offered to take this up with the Consortium of Social Science Data Archives (CESSDA).

5.   Gateway Review and Benefits Realisation Plan [ADRN(15)03]
5.1 Dr Armstrong presented the gateway review and benefits realisation paper. Dr Armstrong stated that by mid-term the ADRN would be expected to have established its data service infrastructure, policies and procedures, trained researchers and progressed projects in all of its locations. However, Dr Armstrong reported that only a few projects would be completed by mid-term and therefore completed case studies would be limited.

5.2 It was reported that by the mid-term the different stakeholders would be looking to the ADRN to deliver against the benefits they anticipate. By ensuring a shared understanding of success at mid-term and beyond, this would assist in engagement with the breadth of stakeholders and discussions of future sustainability of the network.

5.3 The Board had a detailed discussion about the anticipated benefits arising from the ADRN, the Board's role in achieving them, and what success might look like by mid-term. The following points were made in the discussion:

I. It was suggested that the main objective of the Board is to drive forward a network that offers opportunities for researchers across a range of disciplines. Therefore, the Board should form strategic links with the FARR Institute and should engage with private sector data providers. Some Critical Success Factors and Key Performance Indicators should be designed to reflect this.

II. It was agreed that there needed to be a measure of the substantive new knowledge that would be provided by ADRN research and that there should also be information on the cost of ADRN projects and how much these projects would cost without the ADRN.

III. The Board agreed that it was important to measure the extent to which academic and government researchers recognised the ADRN as the place to go to access and link administrative data. The importance of increasing awareness of the ADRN within the research community was stressed. It was reported that the ADS would be increasing their researcher engagement in the coming months.

IV. It was suggested that the Board should identify barriers to the ADRN and be proactive in trying to remove them to enable the opportunities presented by the ADRN to be realised.

V. The Board noted that within four years there would need to be another bid for funds to support the ADRN. Consideration needs to be given to where the ADRN needs to be by mid-term so that evidence to support the bid for further funds can be drawn upon at the end of the funding period.

VI. The Board discussed whether they should be more proactive about suggesting what type of research should be done in the ADRN. It was suggested that the ESRC should be integrating the ADRN into their calls for research, as has already happened with SDAI. This could stimulate work that is seen as a priority for government. It was suggested that if the Board was going to be proactive in identifying certain research priorities of policy value then this might inform ESRC discussions of future funding priorities.

VII. It was reported that some researchers were discouraged from using the ADRN because they did not believe that their projects could be realised. The Board suggested that an ideas workshop could be held to encourage researchers to generate research ideas. More robust ideas could be encouraged and thought given to how they might be funded. Government departments may be interested in good research ideas that they don't have the resource to pursue.

5.4 The Board requested that ESRC take account of these comments in its amendments of the Benefits Realisation plan and welcomed the opportunity to discuss this again in the future.

6. Data Retention and Destruction Policy [ADRN(15)04]

6.1 Ms Wright presented the data retention and destruction policy for the ADRN. It was reported that an information assurance expert group (IAEG), which includes membership

from government, academia and the private sector had been set up. Ms Wright stated that the IAEG would review the data retention and destruction policy in early 2015.

6.2 The meeting felt that there needed to be greater clarity about the different types of data (e.g. identified and de-identified data) discussed in the paper. It was also suggested that a stronger case needed to be made in the policy paper to justify the data retention policy. The ability to replicate research results and build upon previous research findings were identified as two key justifications.

6.3 It was highlighted that the policy states that data will be kept for five years even though it had been agreed at the Board meeting on the 3 July 2014 that data would be destroyed after the life course of a project. It was explained that the ADS had taken the end of a project to mean five years after completion of the analysis. The Board agreed that this should be amended to five years after the data had been received by the ADRN. Some flexibility could be built into this by offering more time if there is an appropriate justification for keeping the data longer.

6.4 The Board suggested that the data retention and destruction policies should be agreed with data controllers at an early stage. This would reduce the chances of the data controllers unpicking the policies at a later stage.

6.5 It was suggested that journal editors are increasingly insistent that data upon which research results are based are made available to view. It was felt that consideration needs to be given as to how this can be addressed in the policy.

6.6 The Board agreed that the ADS should amend the paper to reflect the comments from the Board and bring the paper back for consideration by the Board at the next Board meeting.

7. Information Security Update
7.1 Ms Wright presented an update on Information Security. It was reported that a short-life information security working group (ISWG), with representatives from each ADRC and the ADS, has been set up and is responsible for developing policies on trusted third parties, safe settings, data retention and destruction and the transfer of data. Ms Wright stated that the IAEG would review these policies in early 2015. It was reported that the Information Commissioners Office would not be part of the expert group but would act as an advisor to the group.

7.2 The Board were informed that some of the ADRC's have existing secure facilities and have therefore been able to gain accreditation before the ISWG had been set up.

7.3 The Board requested to see the information security policies at the ADRN Board meeting in March.

8. Public Engagement and Communication Strategy
8.1 Mrs Astley-Reid, the Chair of the Public Engagement and Communication working group, presented on the Public Engagement Communication Strategy. This included reporting on the ADRN key messages, the communication tools that would be used to communicate these messages, the coordination of the working groups and the ADRN information workflow.

8.2   It was suggested that harmonisation across the different centres was important. The Board heard that the ADS have control of the content published on the website and that social media plans had been produced to ensure consistent use of social media across the network.

8.3   It was pointed out that it was important to engage with people who may have concerns about the ADRN and those who may not be interested in the ADRN. It was also suggested that it was important that the network was proactive in speaking with opinion formers. It was suggested that the Board could potentially help with this. HMRC's experiences showed the importance of being proactive in communicating with opinion formers and privacy groups.

8.4   It was felt that publications such as the annual report could present opportunities for the network to be proactive in their communication activities. The ADS and the Secretariat should liaise closely to keep the Board informed of engagement events.

8.5   The Board stressed the importance of being alert to emerging issues in the press and responding to these quickly. The Board heard that all ADS staff had taken crisis media training.

8.6   It was suggested that it would be important to encourage others, outside of the research community, to talk of the benefits of the ADRN so that it is not just the research community presenting the benefits of the ADRN to the public.

8.7   Members of the Board provided some positive feedback on the website but stressed the importance of illustrating the impacts of the ADRN on the website from an early stage.

9.   Approvals Panel [ADRN(15)05]
9.1   Professor Ian Diamond, the Chair of the Approvals Panel, presented the Approvals Panel update. Professor Diamond reported that the Approvals Panel had been functioning well so far and that a lot of the early work of the Approvals Panel had been to set out the process that it would use to approve projects. It was reported that using a privacy impact model to evaluate the privacy impacts of each project had been trialled by the Panel but that the Panel had decided it required further development and in the meantime would use its own judgement on this. Professor Diamond reported that the early evidence suggested that the ADRN was encouraging innovative research, especially in Northern Ireland.

9.2   Dr Garrett, the Board's representative on the Approvals Panel, reported that people from a diverse set of professional backgrounds were included on the Approvals Panel and that the recent meeting at the ADS was useful to enable the Panel to get a deeper understanding of the policies and processes being followed within the ADRN.

9.3   The Board heard that the Panel had agreed that ethical evaluation of the projects was outside the remit of the Approvals Panel. Ethical approval was provided by the ethical approval body at the researcher's host institution or agreed alternative ethics panel.

9.4   It was agreed that it was important that the Approvals Panel saw the ethics report from the appropriate ethics committee. The Approvals Panel should be able to suggest that the project should be reconsidered by the ethics panel if they felt that one ethical aspect had not been considered and it was in the public interest for it to be considered. However, it was stressed that the Approvals Panel are not a second ethics committee.

9.5   It was reported that university ethics committees would not stall the process of getting approval as they meet regularly. In addition, it was reported that the Approvals Panel had agreed to approve projects subject to ethical approval being granted. The ADS are producing guidance for university ethics committees about how to consider ADRN projects.

9.6   The potential establishment of the National Statisticians Advisory Data Ethics Committee (NSDEC) to possibly consider the ethics of projects from Government and third sector researchers was seen to be helpful. It was suggested that, should this be established, it would be important for NSDEC to work in a coordinated way with the Approvals Panel.

9.7   The Board decided that proposed methodological projects by ADRN staff did not need to be approved by the Approvals Panel, providing they were not proposing to use any data. The ADS would provide the Board with a list of projects that will not be seen by the Approvals Panel.

9.8   It was agreed that the public benefits of each project should be published alongside the approved projects.

9.9   It was suggested that in a couple of months the Approvals Panel should publish a report explaining the common causes of rejection. This will be useful for those putting together future ADRN project proposals.

10.   Plan for Annual Report [ADRN(15)06]
10.1   Dr Whitworth gave a presentation that set out the plans for the ADRN Board annual report. It was reported that the annual report would be presented to the UK Statistics Authority Board by the Chair of the ADRN Board and would be published on the UK Statistics Authority website. Dr Whitworth also reported that as the ADRN was still at a relatively early stage, the first annual report would concentrate on the establishment of the Board and would give some indication of how the Board would monitor the progress of the ADRN in the future.

10.2   It was suggested that the report should make reference to what the Board see as the emerging risks and the opportunities presented by the ADRN.

10.3   The Board were told that the ADS would also be publishing a network report. The Board's annual report and the network report should reference each other and be published around the same time. The Board report should promote the messages in the network report.

10.4   It was reported that the Secretariat would take into consideration the Board's comments and would present the Board's annual report to the Board at the next meeting in March.

11.   Any other business
11.1   The Board were told that the ADRN were working with other safe settings to provide accreditation training. This should mean that researchers who have been granted safe researcher accreditation are allowed to use a number of different safe settings.

ADMINISTRATIVE DATA RESEARCH NETWORK BOARD
Agenda
Monday, 19 January 2015
Board Room, One Drummond Gate, London
10:30am - 2pm (coffee from 10:00am)

Chair: **Professor David Hand**

Part A (10:30am to 12pm)

1 10:30am	Minutes and matters arising from previous meeting	Professor David Hand
2 10:40am	Chair's Report	Oral Report Professor David Hand
3 10:50am	Highlight Report	ADRN(15)01 Ms Melanie Wright
4 11:05am	Legislative Issues	ADRN(15)02 Professor Peter Elias
5 11:35am	Gateway Review and Benefits Realisation Plan	ADRN(15)03 Dr Fiona Armstrong

Lunch (12pm to 12:20pm)
Part B (12:20pm to 2pm)

6 12:20pm	Data Retention and Destruction Policy	ADRN(15)04 Ms Melanie Wright
7 12:30pm	Information Security Update	Oral Presentation Ms Melanie Wright
8 12:40pm	Public Engagement and Communication Strategy	Oral Presentation Mrs Trazar Astley Reid
9 1:10pm	Approvals Panel	ADRN(15)05 Professor Ian Diamond Dr Andrew Garrett
10 1:40pm	Plan for Annual Report	ADRN(15)06 Dr Simon Whitworth
11 1:50pm	Any other business	

Next Meeting: **Tuesday 3 March 2015, One Drummond Gate, London**

Tab 1 Minutes and matters arising from previous meeting

1

ADMINISTRATIVE DATA RESEARCH NETWORK BOARD (ADRN)

Minutes

Monday, 29 September 2014
Boardroom, Drummond Gate, London

Present
Board Members
Professor David Hand (Chair)
Professor Peter Elias (Deputy Chair)
Dr Fiona Armstrong
Mr Jonathan Athow
Dr Norman Caven
Mr David Frazer
Dr Andrew Garrett
Mr Colin Godbold
Mr Roger Halliday
Mr Glyn Jones
Professor Denise Lievesley
Mr John Pullinger
Mr Luke Sibieta
Ms Penny Young

UK Statistics Authority
Mr Robert Bumpstead
Dr Simon Whitworth

Economic and Social Research Council (ESRC)
Ms Vanessa Cuthill

Other Attendees
Professor Chris Dibben (for item 10)
Ms Tanvi Desai (for Melanie Wright)
Mr Peter Fullerton

1.   Minutes and matters arising from previous meeting
1.1   The minutes of the previous meeting held on 29 September 2014 were agreed by
        correspondence and have been published on the UK Statistics Authority Website.

Tab 2 Chair's Report

2

Oral Report from Chair

Professor David Hand

Tab 3 Highlight Report

3

UK STATISTICS AUTHORITY

ADMINISTRATIVE DATA RESEARCH NETWORK BOARD

ADRN(15)01

Highlight Report – January 2015

Purpose
1. This paper presents an ADRN highlight report for the period between mid September 2014 and mid January 2015.

Recommendations
2. Members of the ADRN Board are invited to note and discuss the content of the highlight report at **Annex A**.

Background
3. At previous ADRN Board meetings it was agreed that the highlight report was a useful document for capturing the progress made by the ADRN.

4. Between ADRN Board meetings the Secretariat sends regular updates on progress made by the Administrative Data Service (ADS) and the Administrative Data Research Centres (ADRCs) by correspondence.

Discussion
5. Previously a RAG status has been reported. As the ADRN is now in "business as usual mode" this is no longer being reported.

6. The highlight report identifies risks and actions planned to mitigate these, and sets out achieved and planned activities. The report is structured around work streams that reflect the specific responsibilities of the ADRN Board (paragraphs 8i to 8iv of the terms of reference).

Simon Whitworth, Head of Secretariat and Project Leader, Administrative Data Research Network Board, 2 January 2015.

List of Annexes

Annex A   ADRN Highlight Report

DRAFT Annex A Highlight Report

Tab 3.1 Highlight Report / ADRN (15)01 - Annex A

		Report date: 23 December 2014
Provide a brief account of progress on the project since the last report. Please include metrics, including number of project applications received and approved, and the average length of time from application to approval and from approval to access to data. Please include a list of approved project titles and their current status. Please include a look forward to the next quarter. What will be the key priorities? What are the risks and what are the actions planned to mitigate these risks?		

Progress to date:

i. The BIS Gateway 'Readiness for Service' review (which took place from 21 to 23 October 2014) gave an Amber rating for the ADRN and made a number of recommendations, some of which were deemed essential before 25 November 2014. Progress against these recommendations is the subject of a separate update to the Board.

ii. The ADRN is now ready to discuss project proposals with external researchers (w.e.f. 25 November 2014). Since that date, the Administrative Data Service (ADS) has received 20 enquiries. About half of these queries were re-directed to other services and/or were from non-eligible researchers. The remainder were from eligible researchers working in various fields, for example employment, urban economy, organisational performance and income/tax studies.

iii. The ADRN Management Committee met on 15 October, 11 November and 21 November 2014 (with another meeting scheduled for 8 January 2015 and a further 6 meetings scheduled for the remainder of 2015), to discuss the Gateway Review; preparations and communications for 25 November; policies and procedures relating to Information Security across the Network, ethical approval of project proposals from outside Universities; and the work of the ADRN Working Groups.

iv. The Network-wide working groups have been progressing work streams on: communications and public engagement; project management; services and support; information security; research (substantive and methodological); and training and capacity building. A Chairs' working group has now been established to ensure co-ordination between the groups (this arose from one of the recommendations of the Gateway Review).

v. The ADRN project Approvals Panel has met on 17 October, 18 November, 5 December (face-to-face at the University of Essex) and 17 December. The report from the Approvals Panel is a separate item for the Board.

vi. Phase 2 of the ADRN website has now been launched. From 25 November to 15 December there have been 12,675 page views by 1192 users. 8282 were unique page views. 46 per cent were new visitors to the website.

'Live' Project Titles and current status:
NB: a project is 'live' as soon as it is logged with the ADS

Tab 3.1 Highlight Report / ADRN (15)01 - Annex A

ADRC-E: *Evaluating linkage between children's health, education and social care* (approved)

ADRC-E: *Geographical linkage for studying environmental influences on health behaviours*: the ADRN application forms are with the Principal Investigator for completion. Support offered from ADRC-E, if needed.

ADRC-E*: Combining Survey Data, Paradata and Administrative Data for Non-response investigation*: *approved:* ONS Census Release Approval Board has now authorised the release of necessary data

ADRC-E*: Public policy aspects of linking and analysing government administrative data*: this is proceeding as an internal ADRC-E project.

ADRC-E*: Testing the reliability of economic data [this project does not rely on linked data] (HMRC has given an estimate of £500K for the data required – this is currently being explored further)*

ADRC-E: two more project proposals are under development (one looking at household energy consumption patterns and the other analysing household demand for water)

ADRC-NI*: Factors associated with decreased representation in higher education* (this has been approved)

ADRC-NI: *Public Policy and 'Peace' Walls in Belfast*: establishing baseline indicators (this has been approved)

ADRC-NI: *Socio demographic characteristics, educational attainment and self-reported health status of farmers in Northern Ireland*

ADRC-NI: *Using data linkage to obtain accurate population estimates of migrants in Northern Ireland and their needs for and use of mental health and social care* (this has been approved)

ADRC-S: no live projects at present, though significant progress has been made in identifying and developing internal projects for the ADRN

ADRC-W*: The Health and Education Impacts of 'Flying Start'* [a Welsh Government initiative aimed at improving the life chances of children aged under 4 in deprived areas of Wales] (this has been approved by the Approvals Panel and is awaiting ethical approval)

ADRC-W*: Sports - Assessing the health impacts of adults' participation in sports in Wales (Welsh Government)* (Submitted to the ADS for Approvals Panel meeting in January)

 ADRC-W: *Disability & Employment - An investigation into the impact of disability on employment in the UK* (on schedule to be submitted to ADS in January

ADRC-W: *Examining contributory factors in road traffic collision data involving older people in Wales* (application received by ADRC-W)

ADRC-W: *The feasibility of creating an individual deprivation score using linked data (Welsh Government) (*application being developed)

ADRC-W*: Examining the link between family health events and pupil performance indicators in Wales* (first draft of application received)

ADRC-W*: Housing and offending (WISERD)* (application to be developed further)

 ADRC-W: *Millennium Cohort Study and National Pupil Database* (application received by ADRC-W)

ADRC-W: four more project proposals are under development

Key metrics:

11 live projects (i.e. logged with ADS, since 21 May 2014)

20 enquiries from external researchers, since 25 November 2014

7 project proposals assessed by the Approvals Panel (since September 2014)

5 project approved by the Panel (since September 2014)

Website: 12,675 page views since 25 November

Tab 3.1 Highlight Report / ADRN (15)01 - Annex A

Social media: 278 Twitter followers; 437 Tweets (in total). On 26 November, more than 3000 people saw the Network's tweets

Key strategic priorities for next quarter:

i.   To promote awareness of the ADRN, anticipate demand and manage researcher expectations

ii.   To ensure a quality service for users and to gather feedback from researchers on each stage of the user journey

iii.   To develop a data owner engagement strategy and to intensify the programme of engagement with data owners, sister infrastructures, including the FARR, following full service launch, and to develop a data access agreement template

iv.   To gather metrics and other indicators, to track the progress of the ADRN

v.   To implement policies and procedures, including on Information Security

vi.   To establish an Information Security Expert Group to offer advice and guidance to the Network

Risks:

A Network-wide risk register has been prepared by the ADS. The risks include: unknown level of demand for administrative data by the research communities; policies and procedures not being followed; a breach in the Network damaging the reputation of the ADRN; lack of public trust; loss of key staff; network outages; data owner concerns; delays in the supply of data by government departments and agencies. ADRCs have also prepared their own risk registers.

Actions to mitigate these risks:

The Network-wide risk register includes actions to mitigate the above risks. The ADS, the UK Statistics Authority (UKSA) and the Economic and Social Research Council (ESRC) officers have had some discussions with data owning government departments and agencies about the ADRN, what the benefits are, and the key role that they fulfil. The ADS is developing a programme of meetings with data providers. A breaches and penalties policy is also being developed, to cover all types of bona fide researchers including those from the government and third sector.

Tab 3.1 Highlight Report / ADRN (15)01 - Annex A

Workstream Progress Reports:

Workstream 1:	**ADRN infrastructure and Network coherence[1]**	Report date:	**23 December 2014**

Main achievements

Infrastructure:
  i.   ADRC-E: the University of Southampton has achieved Secure Environment accreditation from CESG.
  ii.   ADRC-E: the ONS tactical VML is live and open to researchers.
  iii. ADRC-E: Phase 1 of the User Acceptance Testing of the ADRC-E environment is now complete – the additional requested data analysis software has been configured and installed for end users.
  iv.   ADRC-E: Bloomsbury Secure Lab: the PCs have now arrived.
  v.   ADRC-E: staff recruitment is almost complete across all three sites, with increased integration of management and operational activities across sites.
  vi.   ADRC-W: recruitment of all remaining vacancies is now complete (two User Support Officers and an administrator have been recruited).
  vii. ADRC-S: the third Research Fellow (in public engagement) has now been recruited.
  viii. ADS has produced a paper on behalf of the Network on support for researchers with special needs (this was prompted by the recommendation of the Gateway Review).

Network coherence:
  i.   The ADS visited ADRC-E in Autumn 2014 to meet with the team and learn about the Centre's processes (e.g. for data linkage).
  ii.   The ADS has produced an internal communications plan for the Network. This will be disseminated via the Chairs of the working groups, once the plan is complete.
  iii. Seven editions of the ADRN internal newsletter have been published, with a circulation to more than 200.
  iv.   The ADS has produced media guidance and social media guidance for all ADRN staff members.

Outlook for next quarter
Infrastructure:
  i.   ADRC-E: Bloomsbury will continue to progress Secure Lab establishment.
  ii.   ADRC-S: Recruitment for final vacancy in the data scientist team will take place.

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[1] Board responsibility (from ToR): i) Guide the strategic direction of the Network and provide oversight of its development to provide assurance that the infrastructure is established and maintained in ways that serve the public good, and, that the Network functions as a coherent whole.

Tab 3.1 Highlight Report / ADRN (15)01 - Annex A

iii.   ADRC-W: physical infrastructure developments are on schedule for the new Data Science building at Swansea University, and for the safe settings at Cardiff University.

Network coherence:

i.   In January 2015, ADS representatives will visit ADRC-W and ADRC-NI, as part of Network-building activities.
ii.   A Network-wide workshop on 'Safe settings' will be organised by ADS in early 2015.
iii.   An ADRN Ethical Review working group will be established in early 2015.
iv.   An ADRN Output Control working group will be set up in 2015.
v.   An ADRN intranet is being developed that will streamline internal communications with benefits for responsiveness and interactivity across the Network.

Workstream 2:	ADRN principles, policies and procedures[2]	Report date:	23 December 2014

Main achievements

i.   The ADS has developed a document showing the hierarchy of ADRN policies and procedures.
ii.   The Principles of the Network have been summarised in one document.
iii.   The institutional guarantor policy and procedure has now been agreed.
iv.   The ADRN Short Life Information Security working group has drafted a set of principles and policies, for review by the Management Committee, on:

❖ Data Retention and Destruction
❖ Data Movement
❖ Secure Environment
❖ Security Breaches and Penalties
❖ Output Control

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[2] Board responsibility (from ToR): ii) Agree the principles and policies for access to the Network, identifying and resolving any high-level issues which inhibit access to the Network.

Tab 3.1 Highlight Report / ADRN (15)01 - Annex A

Outlook for next quarter

i.   The Board will review the draft Data Retention and Destruction policy at its meeting of 19 January.
ii.   The Board will review other Information Security policies at its meeting of 3 March.
iii.   An ADRN researcher agreement/terms of use policy/procedure is being developed.
iv.   An accredited researcher policy and procedure is being developed.
v.   Terms of reference for an Ethical Review working group and an Output Control working group are under development.
vi.   The Approvals Panel will continue to meet once a month to assess project proposals. A face-to-face meeting of the Approvals Panel has been scheduled for 14 April (hosted by ADRC-S in Edinburgh).

Workstream 3:	ADRN standards and performance[3]	Report date:	23 December 2014

Main achievements

i.   Key metrics/indicators are being developed, and will be discussed at the ADRN Management Committee on 8 January 2015. This will be a critical piece of work for the Project Managers across the Network, and for ESRC.
ii.   The ADRN user services working group also have standards and performance monitoring within their remit.
iii.   The ADRN working group on research has as its remit to ensure efficient co-ordination of substantive research across the Network. The group has also agreed on how best to synchronise research on methodology in data linkage, and linked data quality and quality assurance.

Training and capacity building:

i.   The ADS has developed a training module on data security, which is now being delivered across the Network and has been very well received by researchers.
ii.   ADRC-W: has delivered safe researcher training for its researcher group, with very positive feedback. This has initiated a lot of project enquiries.
iii.   ADRC-S: has held a training event for members of affiliated organisations across Scotland (Scottish Government, NHS National Services Scotland, Universities) on 'Re-introduction to Statistical Concepts and Tests'.

Outlook for next quarter

•   The user services working group will continue to meet and to monitor the quality and consistency of standards and services across the ADRN

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[3] Board responsibility (from ToR): iii) Provide oversight of standards and performance of the Network, including reviewing the progress, usage, quality and performance of the infrastructure, the strategic risks to meeting the Network's objectives and the actions to mitigate to these risks.

6

Tab 3.1 Highlight Report / ADRN (15)01 - Annex A

Training and capacity building:

i. The ADRN Management Committee will be discussing Network-wide plans for training, at its meeting of 8 January 2015
ii. Each ADRC will be marketing and delivering ADRN training courses
iii. ADRC-NI is identifying potential researchers who will require training – this includes government researchers, and 'remote access training' will be trialled
iv. ADRC-E is developing a training plan for the next 6 – 12 months (nine courses [18 days] have been delivered/are planned for 2014/15)
v. Each ADRC will be identifying and advertising capacity building opportunities – e.g. PhD studentships

Workstream 4:	**ADRN Public Engagement and Communications[4]**	Report date:	**23 December 2014**

Main achievements
i. Animation for the ADRN website on de-identification of data has been scripted and the first draft circulated for comment to the ADRN PECO working group.
ii. ADS Co-Director Tanvi Desai made a presentation about the ADRN at the UKSA/RSS event on 'Administrative Data: the Statistical Potential' [05 December 2014].
iii. An ADRN social media plan has been developed by the public engagement and communications working group.
iv. A crisis communications plan has also been finalised and training has been delivered to the Centre Directors and to key staff at ADS.
v. ADRC-E: an ONS/ADRC-E internal launch took place at Titchfield on 5 December, with more than 50 attendees.
vi. ADRC-NI hosted an ADRC showcase event at Parliament buildings on 1 December. Professor Peter Elias introduced the ADRN and the need for and value of the ADRC-NI within it. The event was well attended with representatives from local political parties, government departments, third sector organisations and academic institutions. The event has already resulted in further engagement with data custodians and a range of researchers and third sector organisations.
vii. ADRC-NI also raised the profile of the ADRN as host of a series of events during the ESRC Festival of Social Science week (1- 7 November 2014).
viii. ADRC-S has recruited a Research Fellow in Public Engagement.

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[4] Board responsibility (from ToR) iv) Provide oversight of the Network's public engagement and communications strategy.

7

Tab 3.1 Highlight Report / ADRN (15)01 - Annex A

ix.	ADRC-S: recently published research on Children's weight and obesity, as related to the Millennium Cohort Study, was broadcasted on Radio and TV.
x.	ADRC-S participated in an event marking the availability of 2011 Census data within the Scottish Longitudinal Study (the Scottish Chief Scientist Professor Andrew Morris gave the welcoming address at this event).

Outlook for next quarter

i.	The Communications and Public Engagement Strategies are being implemented across the ADRN, ensuring consistency of messages, with individual centre strategies and planned activities within it.
ii.	Centres' 'homepages' on the ADRN website will be developed.
iii.	ADRC-E has launched a bi-weekly newsletter and an ADRC-E leaflet has been printed.
iv.	ADRC-NI is planning an Impact Conference in early summer 2015.
v.	ADRC-W is planning two Public Engagement events in Q1 2015: a launch in March and a 'Research into Policy' workshop.

Tab 4 Legislative Issues

4

UK STATISTICS AUTHORITY

ADMINISTRATIVE DATA RESEARCH NETWORK BOARD

ADRN(15)02

Legislative Issues

Purpose

1. This paper presents updates on:

    i.   UK data sharing legislation;
    ii.   EU data protection regulation; and
    iii.   other relevant activity.

Recommendations

2. Members of the ADRN Board are invited to:

    • note and discuss the content of the paper; and
    • consider the potential implications of the activities discussed for the ADRN.

Background

3. At the September 2014 meeting the ADRN Board discussed a paper on data sharing legislative issues. This included updates on UK data sharing legislation, EU data protection regulation and other relevant activity. In the UK, the Cabinet Office have arranged meetings with government departments and civil society to progress an "open policy making" approach, leading work to develop policy on how to reform certain areas of data sharing law. There is a research and statistics strand to this work which aims to use administrative data to develop a better understanding of the economy and society. The other strands to the work are to deliver more targeted and joined up public services and save public money lost through fraud, error and debt.

Discussion

Update on the UK Data Sharing Legislation

4. On the 22 October, Cabinet Office organised a plenary workshop with government departments and civil society which Francis Maude, the Minister for the Cabinet Office, attended. At this workshop a paper setting out the following proposals was discussed;

    i.   a potential power to enable all public bodies, apart from NHS bodies that are excluded from the proposal, to be able to conduct trusted third party (TTP) data sharing providing it is done in a de-identified way and is done for the purpose of research and statistical analysis;
    ii.   a potential permissive legal gateway to allow HMRC[1] to share general (e.g. information on policies or processes), aggregate and anonymised individual level information; and
    iii.   a potential new power[2] to permit public authorities to supply identified data to the UK Statistics Authority for the Authority's statutory functions. The current

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[1] HMRC may currently only share information in limited circumstances set out in the Commissioners for Revenue and Customs Act 2005. These are for the purposes of HMRC's functions or with the consent of each subject of the information or through specific legislative gateways. HMRC argue that the current restrictions to sharing data are more restrictive than is needed in the case of aggregate data and non-identifying data.

[2] Some departments are able to use their common law powers to disclose identifiable data to the UK Statistics Authority. In addition, Sections 42,43 and 44 of the Statistics and Registration Service Act (2007) allow certain limited types of identified data to be supplied to ONS in respect of births and deaths and NHS registration. In other instances the UK Statistics Authority can get access to identifiable

Tab 4 Legislative Issues

proposal includes replacing section 47 of the Statistics and Registration Service Act (2007) with a general power to share data. This would be a permanent gateway and secondary legislation would no longer be required for individual data shares. This also provides an opportunity to design an external scrutiny process that more fully meets the needs of ONS, the data owning departments, citizens and Parliament than is the case with the current affirmative resolution process. ONS's experience of affirmative resolution up to now have found it to be inflexible, subjects the data share to limited scrutiny and takes a minimum of six months. However, there have been strong representations from minority elements of Civil Society that the affirmative resolution process should remain.

5. Attendees at the workshop felt that health data should be included in the TTP de-identified data sharing proposals and the process for devolved issues needed to be clarified.

6. Following the workshop, Cabinet Office circulated to the group a paper for comment that sets out how an advisory committee, which is one of the options to replace affirmative resolution, could potentially work.

7. The Open Policy Making process is due to publish its full conclusions by the end of January 2015. The Cabinet Office has arranged a plenary data sharing meeting which will be attended by the Minister for the Cabinet Office on the 9 February. There is no expectation that this will be progressed further until after the General Election.

EU Data Protection Regulation

8. On 4 December 2014, Professor Peter Elias represented the ESRC at a round table discussion in Brussels. This was attended by the rapporteur for the European Parliament LIBE Committee (European Committee for Civil Liberties, Justice and Home Affairs)[3], Jan Philipp Albrecht. The meeting was organised by the German Research Foundation and was an opportunity for the European health and social science research community to put their concerns about proposed European Parliament amendments to Albrecht.

9. On 4 December, the Justice and Home Affairs Council met and agreed a partial general approach on data processing in the public sector and Chapter IX of the draft General Data Protection Regulation on specific processing situations. In its text the Council has introduced a new recital that discusses the value of register based research in health and the social sciences, and concludes that there should be an exemption from consent subject to appropriate safeguards. It also retains other key articles from the Commission's initial draft which appears to provide an independent legal basis for research and allow data processing for research where it complies with the safeguards in Article 83.

10. The Council's agreed text amends the Commission's initial draft, not the European Parliament's amendments, and is much more positive for research than the Parliament's amendments. There does remain some area of uncertainty in the text and the Council is still discussing other Chapters and its negotiating position ahead of trilogue with the Parliament and Commission, which is expected later this spring.

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administrative data through Information Sharing Orders (ISOs). Section 47 allows the Minister for the Cabinet Office to make ISOs, to authorise a public authority to disclose information to UK Statistics Authority. However, this can only remove a barrier contained in a rule of law or an Act passed before the creation of the SRSA in 2007. ISOs also have to go through the affirmative resolution procedure in Parliament.

[3] The LIBE Committee is responsible for the vast majority of the legislation and democratic oversight of Justice and Home Affairs policies. Whilst doing so, it ensures the full respect of the Charter of Fundamental Rights within the EU, the European Convention on Human Rights and the strengthening of European citizenship.

Tab 4 Legislative Issues

11. In a further development, the European Data in Health Research Alliance has launched a new digital campaign to inform and advise European policymakers on the proposed EU Data Protection Regulation- http://www.datasaveslives.eu/. This is initially health orientated however social science content had been invited which the ESRC has undertaken to provide.

4

Simon Whitworth, UK Statistics Authority, and Vanessa Cuthill, Economic and Social Research Council, 17 December 2014

Tab 5 Gateway Review and Benefits Realisation Plan

UK STATISTICS AUTHORITY

ADMINISTRATIVE DATA RESEARCH NETWORK BOARD

ADRN(15)03

5

Outcome of the ADRN Gateway Review and consideration of the benefits

Purpose
1. This paper invites the Board to consider the anticipated benefits arising from the ADRN, the Board's role in achieving them, and what success might look like by mid-term.

Recommendations
2. Members of the ADRN Board are invited to:

    - discuss what might constitute success at the mid-term; and
    - consider their role in enabling the realisation of the expected benefits.

Background
3. In establishing the ADRN, the Economic and Social Research Council (ESRC) set out to unlock the research potential of administrative data by overcoming a range of barriers to its use faced by government and researchers. The agreed vision of the ADRN is to benefit society and enhance quality of life through intelligent use of linked de-identified administrative data: "Better Knowledge, Better Society". Achieving this vision, and overcoming the barriers, will require identification, planning and tracking of benefits. The communication of the potential benefits of the ADRN and progress towards realisation of these benefits are important if the ADRN and the ESRC are to make the case for future funding and for the sustainability of the network.

4. The anticipated benefits arising from the ADRN were set out in the ADRN Business Case prepared by the ESRC in 2013, and developed within the ADRN Benefits Realisation Plan. These benefits are:

    i.   realising the opportunity to exploit the richness of administrative data for social and economic research and policy, and for better targeting of interventions;
    ii.   a step-change in procedures for access to, and linking between, such data across Government Departments;
    iii.   ensuring the UK remains at the forefront of research based on linked administrative data and is competitive on the international market;
    iv.   enabling new methodologies and cutting-edge research;
    v.   allowing cost effective re-use of existing data by avoiding the duplication of data collection and capitalising on past investments;
    vi.   developing skills for big data analysis;
    vii.   building safe data service infrastructures; and
    viii.   improving public attitudes to, and acceptance of, the use of administrative data for research purposes.

5. The ADRN Benefits Realisation Plan sets out the process for realising the benefits, and the current Plan is being reviewed and updated to incorporate the Critical Success Factors (CSFs) and Key Performance Indicators (KPIs) agreed at the previous Board meeting **(Annex A)**, as well as wider measures that are being recorded by the ADRN. The CSFs and KPIs are key for tracking whether the ADRN is delivering the desired

Tab 5 Gateway Review and Benefits Realisation Plan

outcomes and anticipated benefits; however there will be other unanticipated benefits that will need to be captured during coming years. The list of measures to track progress towards expected benefits from the ADRN are being finalised by the ADRN Management Committee and ESRC in coming months.

6. The Board will have noted that the recent gateway review highlighted the opportunity afforded by the mid-term review to assess any successes and benefits achieved, as well as a reassessment of the projected final benefits. The assessment of successes and benefits will be a challenge for mid-term given the time required in a complex project of this nature to make rapid progress in the substantive areas in which the benefits are sought; however the KPIs and other measures recorded will be important.

7. The gateway review also highlighted that there are a breadth of stakeholders that are anticipating benefits from the establishment of the ADRN. These stakeholders have been considered by the Board when discussing the Public Engagement and Communication strategies and are listed in **Annex B**. It will be important to consider their shorter and longer term expectations along with what is reasonable to expect the ADRN to have achieved in terms of benefits by the mid-term point and beyond.

Discussion

8. The Board's terms of reference include overseeing standards and performance, and engagement with stakeholders, other infrastructure in the UK and internationally. It therefore has a key role to play in enabling the realisation of the benefits expected from the ADRN. Members will discuss at a future meeting the more detailed plans for a mid-term review to take place in 2016. However, as recommended by the gateway review, early consideration is needed of what realistically constitutes success by the mid-term review.

9. By mid-term the ADRN is expected to have established its data service infrastructure, policies and procedures, trained researchers and progressed projects in all of its locations; however it is unlikely that many projects will have completed and case studies and successes by mid-term will be limited. The different stakeholders will be looking to the ADRN to deliver against the benefits they anticipate, and ensuring a shared understanding of success at mid-term and in the longer term will assist in engagement with the breadth of stakeholders and discussions of future sustainability of the network.

10. The Board is invited to what might constitute success at the mid-term of investment, and its role in enabling the realisation of the expected benefits listed in paragraph 4.

Dr Fiona Armstrong, Senior Responsible Officer, Economic and social Research Council, 12 January 2015

List of Annexes

Annex A Critical Success Factors and Key Performance Indicators
Annex B Stakeholders

Annex A ADRN Critical Success Factors and Key Performance Indicators

	CRITICAL SUCCESS FACTOR	KEY PERFORMANCE INDICATOR(S)
	Efficiency	
1	Delivery of the ADRN project within the agreed budget and to time	• Percentage variance against project plan and timetable
2	A robust, efficient and harmonised ADRN, with appropriate safeguards in place	i. Percentage of security breaches/sanctions dealt with successfully ii. No. of positive responses from researchers iii. Positive perception at Board level (qualitative assessment) iv. Demonstrably cohesive and harmonised systems (qualitative evidence)
	Impact	
3	An engaged, up-skilled and enthusiastic UK researcher community	i. No, of email address sign-ups ii. No. of social media followers iii. Percentage satisfied (according to results of survey), by user type iv. Qualitative feedback from research community (via survey) v. No, of people trained through ADRN training courses vi. No. of ADRN-related PhD studentships created vii. No. of project proposals submitted and approved
4	Engagement of, and participation by, data controllers and statistical agencies	• No. of datasets shared with the UK research community • No of project proposals submitted by Government sector and approved by ADRN Approvals Panel
5	Service value: recognition from researchers, data providers and end users of research outputs (e.g. policy makers) of the value of a linked data service	i. Indicators of a future for the ADRN beyond 2018 (eg demand indicators, funding decisions) ii. Impact case studies iii. No. of publications and citations related to research conducted

			through the ADRN
		iv.	No. of invitations to speak at UK Conferences
6	International impact: global recognition of the value of the UK ADRN	i. ii. iii. iv.	Impact case studies No. of publications and no. of citations in international journals No. of invitations to speak at international conferences No. of international researchers and data specialists signed up to the ADRN Communications mailing list
	Assurance		
7	Public confidence and engagement	•	No.of attendees at Public Engagement activities and events across ADRN
8	Robust and transparent governance	• •	Findings and recommendations of external and internal review Percentage of project findings and reports available to public

Annex B – Stakeholders

Public	Data set providers

i.   Interested community groups
  ii.   General public
 iii.   Privacy stakeholders
	i. Local authorities
	  ii. Devolved/ regional
	 iii. Central UK
	 iv. Devolved/National

Researchers
   i.   Data users
  ii.   Academic
 iii.   Third sector
 iv.   Government
  v.   Research enablers
	Government, assemblies and parliament
	    i. EU
	   ii. National Audit Office
	  iii. PAC
	  iv. UKSA
	   v. BIS
	  vi. Cabinet office
	 vii. ICO
	viii. Northern Ireland assembly
	  ix. Welsh Government
	   x. Scottish parliament

Other funding bodies
   i.   MRC
  ii.   NISCHR
 iii. Wellcome Trust	

Tab 6 Data Retention and Destruction Policy

UK STATISTICS AUTHORITY

ADMINISTRATIVE DATA RESEARCH NETWORK BOARD

ADRN(15)04

Data Retention and Destruction Policy – January 2015

6

Purpose
1. This paper sets out the draft data retention and destruction policy for the ADRN.

Recommendations
2. Members of the ADRN Board are invited to:

- note and discuss the draft policy at **Annex A**; and
- consider and offer feedback on wider issues which may include, the potential benefits and risks of data retention and the value of linked data for research purposes.

Background
3. The ADRN Short-Life Information Security working group has recently drafted a policy on data retention and destruction, as part of a suite of policies on ADRN Information Security[1].

4. The draft Data Retention and Destruction policy, which is shown at Annex A, is subject to review in early 2015 by an expert group on Information Assurance (currently being convened). It is intended that the expert group will include representatives from: CESG; data owning government departments; the Information Commissioner's Office; the UK Data Archive; and senior academics with expertise in data security. The purpose of the expert group is to provide independent advice on the ADRN's Information Security policies.

5. The Data Protection Act 1998 states that personal data processed 'for any purpose or purposes shall not be kept for longer than is necessary for that purpose or those purposes.' This statement is echoed in some of the views of the public who participated in the dialogues on use of administrative data for research purposes (commissioned by ESRC and ONS in October/November 2013 and undertaken by Ipsos Mori) – participants tended towards one of two views: 'linked datasets should be stored so that researchers could have access after the initial project is complete', or 'destruction of data after a project is complete is reassuring and therefore desirable'.

6. At the ADRN Board meeting on 3 July, members decided that all linked data should be destroyed at the end of a research project. The Board discussion recognised, however, that there are potential benefits to research from the retention of linked, de-identified datasets. The draft at Annex A proposes that the policy is reviewed after three years, to take account of the views of the public, data controllers, and the research community.

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[1] The other policies currently in draft form are: Data Movement; Secure Environment; Security Breaches and Penalties; and Output Control

Tab 6 Data Retention and Destruction Policy

Simon Whitworth, Head of Secretariat and Project Leader, Administrative Data Research Network Board, 6 January 2015.

List of Annexes

Annex A   Data Retention and Destruction Policy

Tab 6.1 Data Retention and Destruction Policy / ADRN (15)04 - Annex A

Annex A Data Retention and Destruction Policy

Scope

This document outlines the ADRN policy in relation to data retention and destruction. This policy supplements the ADRN information security principles (ADRN030).

6.1

Policy

Data of varying types are created and processed during the research process; some of these data are 'identifiable', but most are 'de-identified' or at an aggregate non-disclosive level.

Personal Identifiable data (e.g. names, addresses, dates of birth) are used within the Trusted Third Parties (TTPs) for the purpose of matching individuals across datasets and facilitating the creation of de-identified research datasets. The research datasets accessed by accredited researchers will not contain person identifiable information. However, because there is the potential for researchers to run analyses which reveal small numbers of individuals with distinct characteristics these data are considered sensitive. The Data Protection Act (1998) requires that records containing personal identifiable data are only retained for as long as necessary and then disposed of appropriately.

The ADRN Board have decided initially that all linked research data should be destroyed at the end of a research project. At the same time, the ADRN Board recognise that there are potential research benefits and efficiency savings that could accrue from the retention of de-indentified research datasets. This Data Retention and Destruction Policy will be reviewed after three years taking account the views of the public and data controllers, and research needs.

The data retention and disposal requirements are different for the various stages of research projects and for different types of 'data'. The policy is detailed under 9 headings:

- i.   Data extracts created by the data owner
- ii.   Trusted Third Party (TTP)
- iii. Staging environment for creation of linked data
- iv.   Research data
- v.   Syntax
- vi.   Unreleased statistical results analytic outputs (including researchers' working files)
- vii. Statistical results and ARDC approved outputs
- viii. IT back-ups
- ix.   Deletion of data and destruction of physical medium which hold data (when appropriate)

1)   Data extracts created by the data controller

This includes: syntax used to create the dataset, data containing the personal identifiers sent to the TTP, and attribute data sent to the Administrative Data Research Centre (ADRC)/Secure Environment. Retention decisions for these data are the responsibility of the data controller, however:

- i.   the ADRN encourages data custodians to retain any code/syntax used to extract data for ADRN projects, ideally for the life time of ADRN;
- ii.   the ADRN encourages data custodians to retain copies of the direct identifiers and the

Tab 6.1 Data Retention and Destruction Policy / ADRN (15)04 - Annex A

attribute data until the completion of the analysis phase of the project; and

iii.   where possible, the ADRN encourages data owners to retain copies of the extracts that could be used to replicate the specific research dataset in the future or re-use the data for a different project.

2)   Trusted Third Party (TTP)

This includes: the direct identifiers received from data owners, syntax or program configurations used to create matches and project specific index numbers, metadata related to matching rates (to be sent to ADRCs), sets of index numbers transferred to the ADRCs, and any data returned to the data controllers.

i.   When the TTP has completed the matching process a summary report, including match rates will be prepared and sent to the ADRC.

ii.   After reviewing this report the ADRC and the lead researcher will give 'approval' to proceed to creating the linked research dataset. At this stage the TTP will destroy all data used for the matching process. The direct identifiers (with data from both data suppliers) will be destroyed and only matched index numbers/IDs retained.

iii.   The set of matched index numbers/IDs (project specific) will be retained by the TTP until the ADRC confirms that the linking of the attribute data has been successful.

iv.   A copy of the syntax or program configurations should be retained for the life of the ADRN, so if required the matching process could be re-run.

v.   A copy of the summary match rates should be retained for the life of the ADRN. This will also be supplied to the ADRCs and the Administrative Data Service (ADS) who will retain this information.

3)   Staging environment for the creation of linked research data

This includes: a copy of the attribute data created by the data controllers, the project specific matched index numbers/IDs supplied by the TTP. The staging environment is separate from the Secure Environment within which the researcher accesses the final research dataset.

i.   The ADRC will create the linked research dataset by combining the matched index numbers/IDs supplied by the TTP with the attribute datasets supplied by the data controllers. Any derived variables will be created in the staging environment.

ii.   For each dataset: The ADRC will produce metadata on the attribute data provided by the data controller. This can be used by the ADRC and the research team to understand representativeness and coverage of the data subjects within the linked dataset. This aggregated metadata will be retained by the ADRC for the life of the ADRN.

iii.   All variables not required by the research team will be destroyed before the data is transferred to the secure environment. Any data which is not to be included in the de-indentified research dataset will be destroyed before the researcher is provided with access to the research dataset within the secure environment

4)   Research data

This includes: the original de-indentified research dataset provided to the accredited researcher.

i.   The research data will be retained by the ADRC until the end date stated in the project application and approved by the ADRN Approvals Panel.

ii.   After the end date the original research dataset will be archived. The recommended

Tab 6.1 Data Retention and Destruction Policy / ADRN (15)04 - Annex A

archiving period for the ADRN is five years but this will be agreed on a project-by-project basis with data controllers.

iii. Data controllers will be informed that after the archiving phase the data may still be retained on copies of IT backups. The length of time that IT back-ups will be retained will be described in local ADRC procedure documents.

5) Syntax

This includes: analytic code that has been created by researchers in analytic packages such as SPSS, SAS, R, STATA.

- The syntax generated by the research team will be retained by the ADRC for the life of the project, as approved by the ADRN Approvals Panel.

- At the end of research project the syntax will be retained by the ADRC for audit purposes until the end of the archiving period. Syntax may also be retained by the ADS for future use.

6) Unreleased statistical results and analytic outputs (including researchers' working files)

This includes: any additional copies of original research data created by the researcher, processed versions of the data, analyses or statistics that have been created but not approved for release.

- The ADRC reserve the right to limit the research team to single copies of the data so as to ensure efficient use of IT storage capacity. All outputs should be reproducible by the research team using the original research data (point 4 above) and the syntax (point 5 above).

- Researchers may create copies of the original research file, working files and draft research outputs, which may be retained until the end date of the project. This data will be subject to the IT back-up procedures of the ADRC.

7) Statistical results and ADRC approved outputs released to the researcher will be retained for as long as the ADRN (or similar) is in existence.

8) IT back-ups

This includes: all information on the TTP network, staging environment and the ADRC safe environment.

i. The TTP will ensure that the maximum back-up time is 48 hours.

ii. The ADRC will ensure that the staging environment will have a maximum back-up time of 48 hours.

iii. All other areas' data back-ups will be determined by local ADRC and ADS procedures.

9) Deletion of data and destruction of media which hold data.

Local ADRCs, TTPs and ADS must ensure that there are clear policies that ensure that data are deleted properly and that physical media are destroyed securely (whenever necessary).

Tab 6.1 Data Retention and Destruction Policy / ADRN (15)04 - Annex A

Definition of Terms

Administrative Data Research Centre (ADRC)

An Administrative Data Research Centre (ADRC) is a consortium of academic institutions with expertise in looking after data, using administrative data for research and making them available for other researchers. The ADRN has four ADRCs, based in England, Northern-Ireland, Scotland and Wales.

Attribute data

Data extract provided to the ADRC by data controllers. Typically attribute data does not contain underlined direct identifiers, unless these are required to create (limited) derived variables.

Data controller

Organisation which determines (either alone or jointly with others) the purposes for which, and the manner in which, personal data are, or are to be, processed.

De-identified data

De-identified data are extracts from data where direct identifiers have been removed after extraction from the original data source.

Direct identifiers

Direct identifiers refer to variables (or groups of variables) in datasets directly identifying data subjects. Examples of direct identifiers are: name, address, full date of birth, national insurance number, NHS number, tax reference number.

Matched IDs

Typically two or more sets of project specific unique identifiers and their relation, identifying common data subjects in the source data sets.

Metadata

Metadata is information on data. Typically metadata contains information about: data type, data collector, time period, geographical coverage, sampling procedures, etc.

Payload data

Data that are used for research purposes. These are the data (with direct identifiers removed) provided by the data controller to one or more of the ADRCs.

Research data

In connection with the data linkage process research data refers to data extracts strictly containing no direct identifiers, but typically including a project specific unique identifier.

Secure environment

Secure environment refers to a suite of secure access infrastructures, including but not limited to secure server room, secure room, safe pod, secure remote access solutions and remote execution.

Tab 6.1 Data Retention and Destruction Policy / ADRN (15)04 - Annex A

Trusted third party (TTP)

A Trusted Third Party (TTP) is a third party that performs the matching of direct identifiers form different data sources, or the matching of direct identifiers of a single data source against an existing population spline.

Within the ADRN linkage process, a TTP typically produces a set of Matched IDs that can be used by the linker to link the research data.

A TTP can be based at a data owner, or at an ADRC, in which case there needs to be a clear separation of roles between matchers, linkers and accredited researchers.

6.1

Tab 7 Information Security Update

7

Information Security Update

Ms Melanie Wright

Oral Presentation

Tab 8 Public Engagement and Communication Strategy

Public Engagement and Communication Strategy

8

Mrs Trazar Astley Reid

Oral Presentation

Tab 9 Approvals Panel

UK STATISTICS AUTHORITY

ADMINISTRATIVE DATA RESEARCH NETWORK BOARD

ADRN(15)05

Report from the ADRN Approvals Panel – January 2015

Purpose

1. This paper provides an update for the Board about the work of the ADRN Approvals Panel.

Recommendations

2. Members of the Board are invited to:
    i.   note the contents of this report;
    ii.   seek clarification on any issues raised by the report; and
    iii. note and discuss the policy and process for publishing Approvals Panel decisions at **Annex A**.

Background

3. At the meeting of the ADRN Board on 29 September it was agreed that future ADRN Approvals Panel reports to the ADRN Board will comprise the following;

    i.   update on any changes to Approvals Panel membership;
    ii.   update on any changes to operating procedures;
    iii. calendar of future Approvals Panel meeting dates;
    iv.   titles of projects approved since the previous Board meeting;
    v.   number of projects rejected since the previous Board meeting (and the type of reason for rejection); and
    vi.   number of appeals (and the outcomes).

Summary

4. Since the last report to the Board the Approvals Panel has met at least monthly by telephone/video conference and has had one face-to-face meeting, in Essex, on 5 December. The Panel has been establishing its working practices and is continuing to refine its method of operation.

5. Update on any changes to Panel membership:
   One additional Panel member has been recruited: Iain Bell, Director of Data and Education Standards Analysis Family, Department for Education.

   One Data Provider and One Lay Member are still to be recruited.

6. Update on any changes to Operating Procedures:

9

Tab 9 Approvals Panel

The Approvals Panel has requested a change in the way in which information about privacy issues are presented for each project. The Approvals Panel has more clearly defined how it wishes to receive information in relation to ethical review of projects.

7. Calendar of future Panel meeting dates:
    Panel dates for the first 6 months of 2015 are as follows:
    29 January, 16 February, 17 March, 14 April, 11 May and 22 June.

8. Titles of projects approved since previous Board meeting:
    i.   Public Policy and 'Peace' Walls in Belfast: Establishing Baseline Indicators;
    ii. Factors associated with decreased representation in higher education; and
    iii. Using Data Linkage to obtain accurate population estimates of migrants in Northern Ireland and their needs for and use of mental health and social care.

9. The panel requested further information for two of the above projects before making a final decision to approve. The Panel has also viewed two additional projects where more information has been requested from the applicants before final decisions can be made.

10. Number of projects rejected since previous Board meeting (and the type of reason for rejection), number of appeals (and the outcomes):

    The Panel has not rejected any projects. There have been no appeals of Approvals Panel decisions.

John Sanderson User Services Manager, ADS, 2 January 2015.

List of Annexes

Annex A Policy and Process for Publishing Decisions of the ADRN Approvals Panel, Jon Sanderson User Services Manager ADS.

Tab 9.1 Approvals Panel / ADRN (15)05 - Annex A

Annex A Policy and Process for Publishing Decisions of the ADRN Approval Panel

Background: The ADRN has a broad commitment to transparency[1] including that all decision-making and business processes are transparent. As part of this commitment the Network will ensure that all research results are made public in an accessible format (a 2-page plain English summary).

There have been some reservations expressed from within the Network about the publishing of information about projects which have been rejected by the Network.

The following policy has been drafted to establish a framework for publishing decisions of the Approvals Panel which takes into account both of these factors.

Recommendation: That the ADRN Board approve the policy and procedure and schedule a review for January 2016.

9.1

Policy for Publishing Decisions of the Approval Panel (draft)

1. Schedule and circumstances of publication

    1.1. Information on the decisions of ADRN Approvals Panel will be published on the ADRN website.

    1.2 Information on projects will only be published when the outcome is definitive i.e.:

    - If a project has been approved; and
    - If a project has been rejected – and any appeal process has been concluded.

    1.3 Information will be published quarterly, to cover the preceding three months.

    1.4 The first publication of Approvals Panel outcomes will be within one month of the adoption of this policy by the Network and quarterly thereafter.

2. Where projects have been approved – the following information will be made available:
    i. Project Title: (as detailed by the researcher in their application);
    ii. Date of Approval: (indicating which month and year the decision was made e.g. "September 2014");
    iii. Status: (indicating which of the following phases apply to the project: Data negotiation underway, data supply, linkage and preparation underway / Project in progress / Project complete). This element of the record will be updated regularly (within a week of a status change); and
    iv. Summary of results: (a link to the '2 page plain English' summary of the project (e.g. in PDF format)).

3. Where projects have been rejected – the following information will be made available:

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[1] http://www.adrn.ac.uk/about/values

Tab 9.1 Approvals Panel / ADRN (15)05 - Annex A

A count of the number of projects rejected each quarter, broken down to show the 'reason for decision'. (This would be defined according to the five elements of consideration against which the Approvals Panel judgement is made – i.e.: no ethical basis for the work, excessive privacy impact, insufficient potential public benefit, insufficient scientific merit, project not feasible.)

4. Example of Proposed Publication Format

Decisions of the ADRN Approvals Panel are published on a quarterly basis, summarising the finalised decisions of the Panel that have been made in the last three months.

Approved Projects: September – November 2014

NB: Until 25 November the ADRN was operating in a test phase and processing only projects which were under development as part of the ADRC research strands.

Project Title	Date of Approval	Status
Combining Survey Data, Paradata and Administrative Data for Nonresponse Investigation	September 2014	Data negotiation underway
Factors Associated with Decreased Representation in Higher Education	November 2014	Data supply, linkage and preparation underway
Developing an Analytical Approach for Assessing the Effectiveness of the Flying Start Programme: Analysis of the Health and Education Impacts of Flying Start.	November 2014	Project in progress

The following is a summary of projects which have been rejected by the ADRN Approvals Panel in the period September – November 2014

Reason	Number of projects
No ethical basis for the work	0
Excessive privacy impact	1
Insufficient potential public benefit	1
Insufficient scientific merit	0
Project not feasible	0

Tab 9.1 Approvals Panel / ADRN (15)05 - Annex A

5.   ADRN Approvals Panel - Publishing Decisions: Procedure

Information on Approvals Panel outcomes (and the subsequent status of the project) will be published via the ADRN website and will be updated and maintained by the ADS.

Updates on the status of project development will be made available to the ADS as soon as practicable after the status of a project changes.

9.1

Tab 10 Plan for Annual Report

UK STATISTICS AUTHORITY

ADMINISTRATIVE DATA RESEARCH NETWORK BOARD

ADRN(15)06

Plan for ADRN Annual Report 2014/15– January 2015

Purpose

1. This paper presents a high level plan for the ADRN's first annual report.

Recommendations

2. Members of the ADRN Board are invited to:

- note and discuss the proposed content of the annual report; and
- consider the format of the annual report and whether it meets the Board's requirements.

Background

3. The Administrative Data Task Force report recommended that the governing board report to the UK Statistics Authority on the work and performance of the Board and the Network through an annual report.

4. The annual report will be presented to the UK Statistics Authority Board by the chair of the ADRN Board and will be published on the UK Statistics Authority website.

5. As the ADRN is still at a relatively early stage, the first annual report will concentrate on the establishment of the Board. The report will also give some indication of how the Board will monitor the progress of the ADRN in the future.

Discussion

6. The report will be approximately ten to fifteen sides in length and will include sections on the following:

   i. chair's report;
   ii. establishment;
   iii. performance;
   iv. future work; and
   v. finance

Chairs Report

7. The Chair's report will summarise how the ADRN came into existence and, at a high level, the main outcomes from the work of the Network[1] during the course of the past year. It will also discuss some of the opportunities that the ADRN presents for the research community.

Establishment

8. In this section there will be an account of the establishment of the Board and some discussion of the work of the Board such as the principles and policies which the Board have considered. The Board's contribution to the approvals panel and appeals panel will also be discussed.

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[1] The Administrative Data Task Force report defines the Network as being the funders, the Centres (and implicitly the Service), the Governing Board and data holders.

Tab 10 Plan for Annual Report

9. Within this section the Administrative Data Service and each of the Administrative Data Research Centres will provide a summary of the work that they have undertaken over the past year. These summaries will include details of their achievements and the challenges they have faced.

Performance of the Network

10. This section will summarise the performance of the Network by assessing some of the relevant key performance indicators and critical success factors for each Centre and the Service. This will include summaries of the alpha and beta testing phases of the research and discussion of any issues that resulted during these testing phases.

Future work of the Network

11. This section will set out the work of the Network over the coming year. It will outline the move towards a more strategic role for the Board and include details about the ADRN Board's annual self assessment. There will also be some discussion about the planned engagement and training activities that are planned by the Network.

Finance

12. This section will make reference to the Economic and Social Research Council's annual report which will cover the overarching costs of the Network. A separate high level financial report will also be included presenting the costs of the Board.

Simon Whitworth and Adil Deedat, ADRN Board Secretariat and, Administrative Data Research Network Board, 2 January, 2015

Tab 11 Any other business

Any other business

11