



**UK Statistics
Authority**



Sixth Meeting of the
Administrative Data Research Network Board

Agenda and Papers

Tuesday 21 July 2015

10:30 – 15:00

Board Room, UK Statistics Authority
Drummond Gate, London

UK STATISTICS AUTHORITY
ADMINISTRATIVE DATA RESEARCH NETWORK BOARD

Minute

Tuesday, 21 July 2015
Boardroom, Drummond Gate, London

Present

Board Members

Professor David Hand (Chair)
Professor Peter Elias for items 7 to 12
Dr Fiona Armstrong
Dr Andrew Garrettt
Dr Norman Caven
Mr Colin Godbold
Mr Roger Halliday
Professor Denise Lievesley
Ms Penny Young
Ms Tanvi Desai for Ms Melanie Wright
Mr Nicky Tarry for Mr David Frazer
Mr Jonathan Athow for items 6 to 12
Mr Darren Warren

UK Statistics Authority

Dr Simon Whitworth
Mr Robert Bumpstead

Economic and Social Research Council

Dr Paul Meller

Administrative Data Research Centre – Northern Ireland

Dr Dermot O'Reilly

Information Assurance Expert Group

Professor Julia Lane for item 8

Administrative Data Service

Ms Trazar Astley-Reid for item 9

Apologies: Mr Glyn Jones, Mr Luke Sibietka

1. Minutes and Matters arising from previous meeting

- 1.1 The meeting reviewed progress with actions from the previous meeting held on 3 March 2015.

2. Chair's Report

- 2.1 The Chair welcomed Mr Warren who has replaced Mr Athow as the HMRC representative on the Board. It was reported that Mr Athow had been appointed to the position of Deputy National Statistician at the Office for National Statistics. The Board were informed that as part of this role Mr Athow would remain on the Board and would replace Mr Pullinger, the National Statistician, on the Board.

- 2.2 The Chair reported that he attended a meeting to discuss “Unblocking Barriers to Data Sharing” which was chaired by Dr David Halpern of the Cabinet Office and included representatives from Government departments.
- 2.2 The Chair reported that Paul Johnson from the Institute of Fiscal Studies had written to the National Statistician concerning the difficulty accessing datasets held within Government. In his reply the National Statistician invited Mr Johnson to write to the Chair with his thoughts.
- 2.3 The Chair reported that the first meeting of the National Statistician's Data Ethics Advisory Committee (NSDEC) was held on the 6 July. Dr Whitworth had presented an overview of the Administrative Data Research Network (ADRN) at the first meeting of NSDEC. One of NSDEC's agreed functions would be to provide ethical consideration of government and third sector research proposals to access the Network.
- 3. Highlight Report [ADRN(15)13]**
 - 3.1 Ms Desai introduced the highlight report for the period between the beginning of March and the end of June 2015. It was reported that the Research Working Group held a successful annual research conference in May 2015 with 77 attendees and 38 papers from across the ADRN and the Economic and Social Research Council's (ESRC) Phase II Big Data initiative.
 - 3.2 The meeting heard about the installation of the first prototype 'SafePod' in the University of St. Andrews, and that this was being user-tested. The Board were informed that the safe-pod was a secure facility which enabled researcher access to data in a safe room type facility. It was suggested that the possibility of locating safepods in Government departments should be investigated to make it easier for Government researchers to access data within the ADRN.
 - 3.3 It was reported that the Directors of the Administrative Data Research Centres (ADRCs) were reviewing the structure of the ADRN Management Committee to develop a streamlined effective structure going forward.
 - 3.4 It was noted that some projects were reported as being approved with some elements outstanding. The Board were informed that these projects were often pending ethical approval.
 - 3.5 It was noted that the Approvals Panel had not considered any Government research projects from the ADRC-England. The Board were informed that this was because the ADRC-England were progressing some projects that do not use unit level data and therefore were not subject to assessment by the Approvals Panel.
 - 3.6 The number of projects being considered by the Approvals Panel was discussed. It was reported that approximately five projects per month were being considered. It was suggested that the number of potential projects may increase in the Autumn following an ADRN communications event at the Royal Statistical Society on the 8 October. It was suggested that it would be useful for the Board to see a graph plotting the number of projects considered by the Approvals Panel over time.
 - 3.7 The meeting heard that the ADRN had just started to accept project applications from third sector organisations partnered with academics.
 - 3.8 It was agreed that the risk register should be reported to the Board at future meetings.

- 3.9 The Board heard that the summaries of the Approved Projects would be published on the ADRN website. This was a useful way of illustrating the benefits of the ADRN.

4. Report from the Approvals Panel [ADRN(15)14]

- 4.1 Dr Garrett presented an update from the Approvals Panel. He highlighted that the Approvals Panel was working well and a second lay member had been appointed. Dr Garrett reported that there were currently two vacancies on the Panel.
- 4.2 The meeting heard that guidance on ethics and administrative data had been produced for research ethics committees and researchers. It was reported that this guidance was work in progress and was circulated to the ethics committees in the Universities who host an Administrative Data Research Centre for comment. It was suggested that this document was a little wordy and that it would be good to think about a more engaging way in which this guidance could be presented bearing in mind the workload that ethics committees often had to get through. It was agreed that the guidance should be shared with the members of NSDEC.
- 4.3 It was reported that elements of the guidance are inconsistent with ESRC policy and framework for research ethics. The meeting agreed that the ADS should work with the ESRC to ensure that the advice provided was consistent with the ESRC guidance.
- 4.4 The meeting considered the roles of the Approvals Panel and ethics committees in considering the risk of disclosure. The Board heard that the Approvals Panel consider a privacy impact assessment for each potential research project.

5. Data Owner Engagement Strategy [ADRN(15)15]

- 5.1 Ms Desai presented the data owner engagement strategy. Ms Desai reported that a major barrier to government departments sharing data with the ADRN was a lack of resources to undertake data management. The Board were also informed that some Government Departments wanted to wait until their data sharing strategies were fully developed before they discussed sharing data with the ADRN. It was suggested that the Administrative Data Service (ADS) need to keep communicating with these departments so that they can contribute to these data sharing strategies.
- 5.2 The meeting heard that the ADRC-Northern Ireland's data owner forum was proving to be very successful and this was something that the wider Network could pursue.
- 5.3 It was agreed that the ADS should talk to departments about what they could offer departments as Government researchers often want to use linked Government data which the ADRN could provide access to.
- 5.4 The Board were informed that HMRC does not intend to share data with ADRN projects at this stage, but that HMRC were open to the possibility in the future and were waiting to see how providing data through the HMRC Datalab worked out. The meeting heard that the ADS were engaging with senior staff in HMRC to understand and resolve any barriers to this.
- 5.5 It was reported that the ADRN were examining the possibility of becoming an official 'intermediary' to the Health and Social Care Information Centre (HSCIC). This would provide the ADRN with the same access to information as HSCIC support staff and to grant access to the data under the same terms as HSCIC.

6. A view from the ADRC-Northern Ireland

- 6.1 Dr O'Reilly, Principal Investigator at the ADRC-Northern Ireland, presented on progress at the ADRC-Northern Ireland. Dr O'Reilly informed the Board that some

outputs were expected from the four approved ADRC-Northern Ireland research projects before Christmas.

- 6.2 Dr O'Reilly stated that being able to access key datasets within the ADRN was central to the success of the Network. The experience with Government departments in Northern Ireland suggested that Government departments were more likely to share data with the ADRN if they were able to contribute to the research questions that were being investigated. The involvement of senior civil servants in the ADRC-Northern Ireland's data owner forum was an important factor in the success of the forum.

7. Critical Success Factors [ADRN(15)16]

- 7.1 Dr Armstrong presented a revised draft of the Critical Success Factors (CSFs) and explained that the CSFs and their accompanying measures would enable the Board to fulfil its assurance role to Parliament.
- 7.2 The Board approved the CSFs. When further developing these CSFs, it was agreed that care needed to be taken to ensure they captured outcomes rather than just how outcomes were achieved.

8. Information Security update [ADRN(15)17]

- 8.1 Ms Desai presented an update on the Information Security Policies. The Board heard that, although the Breaches policy required more work, the proposed penalties were now more consistent. The meeting heard that the ADRN would share information on individuals who had breached with other funding bodies.
- 8.2 Professor Lane, the chair of the Information Assurance Expert Group (IAEG), reported that the IAEG had met once. Professor Lane stated that the biggest issue for the IAEG was the five year data retention policy which it was felt reduced some of the potential benefits of the ADRN.
- 8.3 The Board were content with the fundamental principles on security of facilities. The meeting had a detailed discussion about the five year data retention policy and whether this was a long enough time period to make sure researchers were able to fully exploit the value of the data which could be made available through the ADRN. The following points were made in the discussion:
- i. It was suggested that it was important to strike a balance between the aim to take full advantage of the research potential of the data whilst making sure that the length of time data is retained is publicly acceptable.
 - ii. It was reported that scientific journals are increasingly insisting that data created through the research process should be maintained.
 - iii. It was suggested that a more nuanced data retention policy could be developed over time with different retention periods for more sensitive and less sensitive data.
 - iv. The Board requested that the ADS produce a paper that presents international best practice with regards to data retention and destruction.
- 8.4 The Board were informed that legal advice, received by the ADS, suggested that ADRCs cannot be data controllers as they are not legal entities. The Board requested the ADS provide more information on the rationale for this legal advice at the next Board meeting.

9. Public Engagement and Communication Strategy

- 9.1 Ms Astley-Reid presented an update on the ADRN's public engagement and communication activities. The Royal Statistical Society will be hosting an ADRN event

on the 8 October. This event will be targeted at researchers and data custodians. The Public Engagement and Communication Working Group were developing a Strategic Citizens Panel. The Board also viewed an animation which explained the work of the Network to the public.

- 9.2 The meeting discussed the role of the media. The importance of identifying and engaging with journalists who are sympathetic towards data sharing for research purposes was stressed.

10. Legislative Issues [ADRN(15)18]

- 10.1 Professor Elias presented a paper on legislative issues. It was reported that a conclusion paper from the Data Sharing Open Policy Making Process could be found on Datasharing.org.uk. The Cabinet Office is seeking further examples of research proposals that could not proceed due to legal barriers and the ESRC is coordinating input.

- 10.2 Professor Elias provided an update on ongoing work on the EU Data Protection Regulation. The Council of Ministers had agreed text that was much more positive for research than the European Parliament text. The Council's text maintained key exemptions with significant safeguards for data subjects and flexibility for Member States.

11. Board self assessment [ADRN(15)19]

- 11.1 Dr Whitworth presented the annual ADRN Board self assessment. The Board considered the agenda items discussed in previous meetings and whether this information was sufficient to enable the Board to carry out its role of providing strategic guidance and independent assurance to the Network. The Board also considered planned future agenda items and discussed whether this information would enable the Board to carry out its role in the future.

- 11.2 Board members felt that they received appropriate information to enable the Board to carry out its functions. The Board also felt that the planned future agenda items would enable the Board to perform its role in the future.

- 11.3 It was suggested that data for the annual self assessments could be collected by providing Board members with a questionnaire.

12. Any other business

- 12.1 The Board were invited to the first day of the Annual ADRN Internal Network Event on Tuesday 8 September at the University of Greenwich. The Secretariat will circulate details of the ADRN Network event to Board members. Board members who would like to attend were asked to inform the Secretariat of their intention to attend.

- 12.2 Dr Caven reported that this would be the last meeting of the Board as he was retiring from his position as the chief executive of the Northern Irish Statistics and Research Agency. The Chair thanked Dr Caven for his work on the Board.

ADMINISTRATIVE DATA RESEARCH NETWORK BOARD

Agenda

Tuesday, 21 July 2015

Board Room, One Drummond Gate, London

10:30am – 3:00pm (coffee from 10:00am)

Chair: Professor David Hand

Apologies: Mr John Pullinger

Mr Glyn Jones

Part A (10:30am to 12:30pm)

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)13 Ms Tanvi Desai
4 11:10am	Report from the Approvals Panel	ADRN(15)14 Dr Andrew Garrett
5 11:30am	Data Owner Engagement Strategy update	ADRN(15)15 Ms Tanvi Desai
6 12:00am	A view from the ADRC-Northern Ireland	Oral Report Dr Dermot O'Reilly

Lunch (12:30pm to 12:50pm)

Part B (12:50pm to 3:00pm)

7 12:50pm	Critical Success Factors	ADRN(15)16 Dr Fiona Armstrong
8 1:20pm	Information Security update	ADRN(15)17 Ms Tanvi Desai Professor Julia Lane
9 1:50pm	Public Engagement and Communication Strategy update	Oral Report Ms Trazar Astley-Reid
10 2:10pm	Legislative issues	ADRN(15)18 Professor Peter Elias
11 2:30pm	Board self assessment	ADRN(15)19 Simon Whitworth
12 2:50pm	Any other business	

Next Meeting: Tuesday 3 November 2015, Drummond Gate, London

UK STATISTICS AUTHORITY
ADMINISTRATIVE DATA RESEARCH NETWORK BOARD

Minute

Tuesday 3 March 2015
Boardroom, Drummond Gate, London

Present

Board Members

Professor David Hand (Chair)
Dr Fiona Armstrong
Dr Andrew Garrettt
Dr Norman Caven
Mr Colin Godbold
Mr Roger Halliday
Mr Glyn Jones
Professor Denise Lievesley
Mr Luke Sibieta
Ms Penny Young for items 1 to 6
Ms Melanie Wright
Mr Nicky Tarry for Mr David Frazer

UK Statistics Authority

Dr Simon Whitworth
Mr Adil Deedat

Economic and Social Research Council (ESRC)

Ms Vanessa Cuthill

Apologies

Professor Peter Elias
Mr John Pullinger
Mr Jonathan Athow
Mr Guy Goodwin

1. Minutes and matters arising from previous meeting

- 1.1 The minutes of the previous meeting held on 3 March 2015 were agreed by correspondence and have been published on the UK Statistics Authority website.

Chair's Report
Professor David Hand

UK STATISTICS AUTHORITY**ADMINISTRATIVE DATA RESEARCH NETWORK BOARD**

ADRN(15)13

Highlight Report**Purpose**

1. This paper presents an ADRN highlight report for the period between beginning of March and end of June 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. 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, ADRN Board Secretariat, 7 July 2015**List of Annexes****Annex A ADRN Highlight Report, Jo Webb, Project Manager, Administrative Data Service**

Annex A - ADRN Highlight Report

	Report date 29 June 2015
<p>Provide a brief account of progress on the project since the last report. Please include metrics, including number of project applications received and approved by sector (ie academic, government, third sector), 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.</p> <p>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?</p>	
<p>Progress to date:</p> <ul style="list-style-type: none"> • The ADRN has dealt with over 120 enquiries since November 2014. There are 59 live project applications. • The Management Committee met on 15 April hosted by ADRC-Scotland (ADRC-S) and on 25 June 2015 hosted by ADRC-Northern Ireland (ADRC-NI) to discuss items arising out of the Board meeting of 3 March, the data owner engagement strategy and the suite of policies relating to information security. The committee agreed the performance dashboard for reporting on progress against the critical success factors and realisation of benefits. The Directors have started a process of reviewing the structure of the Management Committee to develop a streamlined effective structure going forward. • The Administrative Data Service (ADS) are working with the ADRC-S to set up a national network of safe settings where researchers can access administrative data. The first prototype 'SafePod' has been installed in St. Andrews, and is being user-tested. The safe-pod is a safe and secure facility which enables researchers to access data in a safe room type facility, aimed at institutions who may not want to set aside a particular room. The safe-pod is self-contained and can be located in areas such as libraries. • The Network-wide Working Groups have been progressing work streams on: communications and public engagement; project management; user services and support; information security; research (substantive and methodological); and training and capacity building. The Training and Capacity Building group are collaborating in a data resource training network (includes UK the Data Service, the National Centre for Research Methods, Census and Administrative Data Longitudinal Studies and Cohort and Longitudinal Studies Enhancement Resources) to engage with Doctoral Training Centres. • The Project Management working group have been leading on the development of a dashboard of performance measures to track the progress and performance of the Network. • The Chairs' of the Working Groups met in May to discuss coordination between the groups, achievements of the groups so far and challenges. • The ADRN project Approvals Panel has met four times, virtually on 17 March, 11 May and 22 June and face to face on 15 April 2015 in Edinburgh, liaising with the Management Committee and taking part in a facilitated discussion on the possible impact to the Network of changes to European legislation. An additional lay member has been recruited, and the lay members visited the Administrative Data Service (ADS) at Essex on 18 June 2015 for continuing development in their roles. There is a report from the Approvals Panel as a separate item for the Board. • The Research Working Group held a successful annual research conference in May 2015 with 77 attendees and 38 papers in total (from across the ADRN and several presentations from the Phase II Big Data initiative). There were 2 excellent keynotes from: Jill Pell (Glasgow University) on <i>Widening</i> 	

the determinants of e-Health and Jane Elliott (ESRC) on *Advancing the Administrative Data Research Network – next steps for facilitating excellent research*.

- After the success of the first two animations on the website, a third is in development to take researchers through the user journey.
- ADRC-S publication: "A Review of Evidence Relating to Harm Resulting from Uses of Health and Biomedical Data Prepared for the Nuffield Council on Bioethics Working Party on Biological and Health Data and the Wellcome Trust's Expert Advisory Group on Data Access", February 2014 (<http://nuffieldbioethics.org/wp-content/uploads/A-Review-of-Evidence-Relating-to-Harms-Resulting-from-Uses-of-Health-and-Biomedical-Data-FINAL.pdf>)

‘Live’ Project Titles and current status: 59 in total. Details are below.

NB: a project is ‘live’ as soon as it is logged with the Administrative Data Service

Breakdown of ADRN projects (by type and leading partner)	Count of Projects	Project title	Status
Academic	53		
ADRC-E	4		
PROJ-001	1	Combining Survey Data, Paradata and Administrative Data for Nonresponse Investigation	Approved (some elements outstanding)
PROJ-009	1	Patterns of error in survey based estimates of consumption and their implications for energy consumption.	In preparation
PROJ-015	1	Evaluating linkage between children's health, education and social care data - pre-term birth sub-study.	Data supply, linkage and preparation underway
PROJ-057	1	Understanding Educational Disadvantage among Primary School Children in England	In preparation
ADRC-NI	11		
PROJ-002	1	Peace Walls in Northern Ireland: developing baseline indicators	Approved (some elements outstanding)
PROJ-008	1	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.	Approved (some elements outstanding)
PROJ-010	1	An Exploratory Analysis of Parental and Child Limiting Long-term Illnesses in Northern Ireland	In preparation

PROJ-011	1	An Exploratory Analysis of the Socio-demographic Characteristics of Married versus Unmarried Mothers	In preparation
PROJ-012	1	Medication use in pregnancy and its risks/consequences in terms of birth outcome and later child development outcomes	In preparation
PROJ-013	1	Naming in Contemporary NI	In preparation
PROJ-014	1	The completeness and accuracy of the Electoral Register in NI	In preparation
PROJ-018	1	Social Defeat in Northern Ireland: Assessing the Impact of Social Risk Factors on Serious Psychiatric Disorders Using Data Linkage	In preparation
PROJ-019	1	Link between congenital heart diseases early in life and educational outcome in NI.	In preparation
PROJ-020	1	Addressing in NI.	In preparation
PROJ-041	1	A pilot ADRC-NI project linking Social Security Benefits and Census data to identify those least likely to claim disability related benefits.	In preparation
ADRC-S	9		
PROJ-027	1	Understanding the role of temporal and geographical differences in place of care in the last days of life	In preparation
PROJ-028	1	Assessing the impact on health and wellbeing of a variety of interventions for improving household energy efficiency	In preparation
PROJ-029	1	Understanding outcomes for children from Scottish Children's Reporter Association (in conjunction with the British Association for Adoption and Fostering)	In preparation
PROJ-030	1	Investigating the impact of a sick sibling on family health and educational outcomes	In preparation
PROJ-031	1	An investigation of maternal mental health and filial educational attainment in Scotland	In preparation
PROJ-032	1	Placement stability of children in out of home care in Scotland: A sequence analysis	Approved (some elements outstanding)
PROJ-050	1	Energy efficiency and household health co-benefits: building the evidence	In preparation
PROJ-052	1	The wider impacts of benefit sanctions: educational attendance, behaviour and attainment (WP8.1)	In preparation
PROJ-039	1	Economic change and internal population dynamics: an innovative study of new residential mobilities in Scotland	In preparation
ADRC-W	12		
PROJ-016	1	An Investigation into the Impact of Disability on Employment in Wales	Approved (some elements outstanding)
PROJ-021	1	Understanding participation in post-compulsory education and training in Wales	Approved (some elements

PROJ-022	1	Examining contributory factors in road traffic collision data involving older people in Wales	outstanding) Approved (some elements outstanding)
PROJ-026	1	Understanding the determinants of educational achievement and the association with health and well-being by age 14 in Wales	In preparation
PROJ-033	1	Does priority need for homeless prison leavers reduce recidivism? A case study from Wales	In preparation
PROJ-034	1	Extending the opportunities for prevention of suicide: linking dispensing and employment data to the Suicide Information Database- Wales (SID-Cymru).	In preparation
PROJ-035	1	Examining the link between family health events and pupil performance indicators in Wales.	In preparation
PROJ-037	1	Feasibility study exploring the use of data linkage in the evaluation of the Supporting People Programme	In preparation
PROJ-046	1	Assessing the relationship between concessionary bus use and health for older people in Wales	In preparation
PROJ-055	1	Examining risk factors for Domestic Abuse and Child Sexual Exploitation to inform future policing in the Swansea area	In preparation
PROJ-056	1	Job quality, well-being and health.	In preparation
PROJ-058	1	Investigating the role of buses in access to hospitals	In preparation
ADS	10		
PROJ-017	1	The Residential Mobility of Mental Health Service Users (MHSUs).	Approved (some elements outstanding)
PROJ-023	1	Improving the experience of dementia and enhancing active life: living well with dementia - the IDEAL study– data linkage extension	In preparation
PROJ-024	1	Refugees, Dispersal and Deprivation	In preparation
PROJ-036	1	An exploration of maternal and infant health and educational outcomes following metformin exposure in pregnancy - using linked administrative data	In preparation
PROJ-038	1	Evaluating the use of contextual data in undergraduate admissions	In preparation
PROJ-045	1	The kinds of poverty in schools and their impact on student progress	In preparation
PROJ-047	1	Leading for Growth: Top Teams and SME Performance.	In preparation
PROJ-048	1	Use of out-of-home care for children born with drug withdrawal syndrome: longitudinal study of mothers and children using linked administrative data.	In preparation
PROJ-049	1	Assessing the impact of measures to raise attainment and take-up of STEM subjects	In preparation
PROJ-059	1	Pipeline and Return to Science and Mathematics	In preparation

not assigned	7		
PROJ-040	1	Methodological innovation in the spatial analysis of educational micro-data: understanding social and spatial inequalities	In preparation
PROJ-042	1	Improving Migration Statistics by Combining Survey Data	In preparation
PROJ-043	1	Prevalence and variation in antidepressant prescribing across Northern Ireland: a longitudinal administrative data linkage study for targeted support.	In preparation
PROJ-044	1	Higher Education: Access, Earnings and Employment	In preparation
PROJ-051	1	Residential mobility and diabetes.	In preparation
PROJ-053	1	Technical change, employment and inequality. A spatial analysis of households and plant data.	In preparation
PROJ-054	1	Examining the effect of relative housing wealth on individuals' Health and Well-Being (H&WB).	In preparation
Government	6		
ADRC-NI	2		
PROJ-006	1	Factors associated with decreased representation in higher education	Data supply and preparation underway
PROJ-007	1	Sociodemographic characteristics, educational attainment and self-reported health status of farmers in Northern Ireland	Approved (some elements outstanding)
ADRC-W	4		
PROJ-003	1	The Health and Education Impacts of 'Flying Starts'	Approved (some elements outstanding)
PROJ-004	1	Assessing the Health Impacts of Adults' Participation in Sports in Wales: Investigating the mediating role of accessibility to sports facilities.	Approved (some elements outstanding)
PROJ-005	1	The Feasibility of Creating an Individual Deprivation Score using Linked Data	In preparation
PROJ-025	1	SEED Better Decisions: Uncovering how patients' socioeconomic, educational and demographic factors impact clinical decision-making.	In preparation
Grand Total	59		
There are currently no third sector projects.			
ADRN projects not using unit-level data and therefore not subject to assessment by the Approval Panel:			
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.

The associated funded projects between ESRC, ADRC-W and Welsh Government (fuel poverty and social policy) are also proceeding well and there is also a fuel poverty project PhD student starting in September. This PhD will be based in Cardiff and will work closely with the fuel poverty analyst.

Key metrics:

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

13 projects approved by the Panel

Website: over 26,000 page views since 25 November

Social media: 482 Twitter followers; 1104 Tweets (in total).

914 views of items on the ADRN Youtube channel (about 1775 minutes watched in total)

Key strategic priorities for next quarter:

- To promote awareness of the ADRN, anticipate demand and manage researcher expectations
- To undertake data owner engagement to progress projects. An item on the data owner engagement has been prepared for the Board separately. A survey of data owners is being developed to establish a baseline of data owner perceptions of barriers to data sharing. This will then establish any change of perception due to the Network's functioning.
- To gather metrics and other indicators, to track the progress of the ADRN
- To implement policies and procedures, including on Information Security
- The next internal whole network event is being planned for 08/09 September in Greenwich, London. The aim of the event will be to start looking at capturing and documenting impact from the network.
- Development of a Network annual report continues, with the publication date to coincide with the joint ADRN/ RSS event on 08 October. There will also be an external newsletter for stakeholders developed to coincide with the joint ADRN/ RSS event on 08 October.

Risks:

A Network-wide risk register has been prepared by the Project Managers Working Group. New risks have been identified including a possible legal challenge from private companies unable to access data or data subjects (at green), the impact of legislation such as the interpretation of the Health and Social Care Act. There is a risk that demand from researchers may be low.

ADRCs have prepared their own risk registers and keep them under review.

Actions to mitigate these risks:

To mitigate these new risks: there is coordination between the two centres with work packages looking at the legal routes to data sharing, along with

communications activities. ADS has advised researchers applying to the Secondary Data Analysis Initiative-3 call to stimulate demand, alongside training and capacity activities to build a future research base.

Workstream Progress Reports:

Workstream 1:	ADRN infrastructure and Network coherence ¹	Report Date	29 June 2015
Main achievements <p>Infrastructure:</p> <p>ADS: An ADRN intranet was launched to streamline internal communications with benefits for responsiveness and interactivity across the Network. Current documents have been uploaded to the intranet. The intranet also has areas for discussions and areas to work on draft documents. The intranet has over 70 members across the network.</p> <p>ADS are working with the ADRC-S to set up a national network of safe settings where researchers can access administrative data. The first prototype 'SafePod' has been installed in St. Andrews, and is being user-tested. The safe-pod is a safe and secure facility which enables researcher access to data in a safe room type facility, aimed at institutions who may not want to set aside a particular room.</p> <p>ADRC-E: Continued Room Rules development for University of Southampton (UoS) Secure Lab;</p> <p>ADRC-E: Recruitment is almost complete across sites: Bloomsbury's Research Associate post has interviews scheduled on 3 July;</p> <p>ADRC-E: UoS held another Data Scientist Workshop on 13 May not only for Data Scientists but also for colleagues who have Data Scientist responsibility; its aim was for participants to understand data scientist role, especially with respect to ADRN project user journey and also to identify personal actions and knowledge gaps;</p> <p>ADRC-E: A secure link has been established between the Farr Secure Room and the UoS data centre to allow access to data held by ADRC-E; the Farr Secure Room has been provisioned with 11 PCs and 1 Sheep Dip machine as per the setup of the Secure Room PCs at UoS; official auditing and security penetration testing of the Farr Secure Room has been completed.</p> <p>ADRC-NI: Two academic based Statistical and Methodological Officers are now in place. A total of five Post-doctoral Researchers have started (1 in the University of Ulster (UU) and 4 in Queens University Belfast (QUB)). Both UU and QUB have 5 leveraged studentships each over the 5-year period. Two studentships have been started in QUB (one with data linkage methodologists; the second with the migrants study).</p> <p>ADRC-NI: Further progress has been made to separate the infrastructure and functions of the trusted third party. This has involved significant rebuild, and</p>			

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.

installation of a suite of new IT equipment. Data Integration and Linkage (DIAL) have also set up a new 'staging area' within McAuley House, but separate from both the safe setting and the trusted third party rooms. This is where the final checks for potential disclosure risk will be undertaken before the data is placed in the safe setting for research use. Members of the DIAL team recently met with senior security officials, sharing all documentation relating to all aspects of their infrastructure and processes, data linking and matching. A very positive response was received.

ADRC-W: Developments in Swansea University at the new Data Science building are on plan and it is envisaged that staff will occupy the new building in early August. Developments at Cardiff are proceeding in terms of developing the safe setting. The ADRC is fully staffed.

ADRC-W: Two Welsh Government researchers commenced with the ADRC-W on fuel poverty and social policy projects. A fuel poverty Phd will commence in September in Cardiff

ADRC-S: Current staffing level 16.62 FTE (46 staff) including trusted third party. 7 posts remaining to be filled as some internal workpackages have yet to be fully activated.

Network coherence:

ADS has visited all four Centres as part of network building activities.

The annual Internal Research event took place at Queens University, Belfast, on 28th and 29th May. The event aimed to enable researchers to present research taking place and identify synergies between projects.

Outlook for next quarter

Infrastructure:

ADRC-S: Research Fellow and PhD Student starting in Autumn 2015 to work in area of uncertainty in automated linkage. Research Fellow starting in Autumn 2015 to work in area of temporal and geographical differences in place of death across Scotland, and submission of project application to Approvals Panel in Autumn 2015.

ADRC-NI: Appointment of a second ADRC-NI funded Research Fellow at Ulster University and start process of organising for next round of research studentships through both academic institutions.

ADRC-W – Commissioning of new Data Science building.

ADRC-W – Recruitment of collaborative project researchers (TBC).

ADRC-S submission of articles: "Developing a public interest mandate for the governance and use of administrative data in the United Kingdom" to *Journal of Law and Society*, June 2015 (expected publication December 2015 tbc), Submission of "The Proposed Data Protection Regulation and its Potential Impact on Social Sciences Research in the UK" to new journal *European Data Protection Law Review*, April 2015; Submitted of abstract to the 5th annual EAHL conference in Prague, 2015. 'Synthpop: Bespoke Creation of Synthetic Data in R' and 'A simplified approach to generating synthetic data for disclosure control' <http://cran.r-project.org/web/packages/synthpop/index.html>. Abstract submitted for software demonstration at the Joint UNECE/Eurostat Work Session on Statistical Data Confidentiality, 5-7 October 2015, Helsinki, Finland

<p>Network coherence:</p> <p>The next internal whole network event is being planned for 08/09 September in Greenwich, London. The aim of the event will be to start looking at capturing and documenting impact from the network.</p>			
Workstream 2:	ADRN principles, policies and procedures²	Report Date	29 June 2015
<p>Main achievements: The suite of Information Security policies were reviewed by the Management Committee on 25 June, with the suite coming to the Governing Board meeting in July:</p> <ul style="list-style-type: none"> • Data Retention and Destruction (this was reviewed by the Board on 19 January and a number of suggestions for revisions were made) • Data Movement • Secure Environment • Security Breaches and Penalties • Output Control <p>The User Services working group is undertaking a programme of light touch reviews of policies to establish the effectiveness of all of the Network policies.</p>			
<p>Outlook for next quarter:</p> <p>The Approvals Panel will continue to meet once a month to assess project proposals. The next face-to-face will be in January at the ADRC-W. Efforts are being made to recruit two data-provider representatives for the Approvals Panel after one member has stepped down.</p>			
Workstream 3:	ADRN standards and performance³	Report Date	29 June 2015
<p>Main achievements</p> <p>The Project Management working group has developed a focused dashboard of performance indicators for reporting on progress against the critical success factors and realisation of benefits. Operational indicators were developed for use by the working groups. The Management Committee agreed these at its</p>			

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.

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.

June meeting. There will then be coordination with reporting to the Governing Board to ensure information is collected effectively.

Training and capacity building:

ADRC-E organised three short courses on 20-22 May (Data Linkage: from Theory to Practice), 8-10 June (Combining Data from Multiple Administrative and Survey Sources for Statistical Purposes) and 22 June (Using Administrative Data in the Third Sector);

ADRC-E: The Statistical Disclosure Control Training took place at UoS on 18 June, facilitated by Richard Welpton of UK Data Archive and attended by colleagues who will carry out output checking in all three sites; the ADRN 'Train the Trainer'/Accreditation Training has been organised to take place at UoS on 17 July.

ADRC-S: Delivered Scottish Doctoral Training Centre workshop: Using administrative data to understand patterns of children's services 11.6.2015 in Edinburgh <https://summerschool.socsciscotland.ac.uk/programme/day/4/event/3>

ADRC-S: Ran course on Statistical Modelling for Administrative & Social Survey Data jointly with AQMeN at Edinburgh Bioquarter 24.3.2015 and a Stata Fast Track workshop

ADRC-S: Safe Researcher Accreditation Training workshop at Edinburgh Bioquarter 8.6.2015 (28 attendees)

ADRC-NI also held Safe Researcher Accreditation Training with 10 attendees.

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. The group have discussed their remit and have decided to meet less often but face to face – and to visit each ADRC location to enable each centre to understand the local working format in each centre.

Training and capacity building:

ADRC-S:

- Planned Research workshop: Social surveys, admin data and single nucleotide polymorphisms by John Jerrim Autumn 2015 <http://www.adrn.ac.uk/news-events/upcoming-courses/autumn-events-at-the-adrc-s>
- Planned organisation of 1 day workshop 'Introduction to Bayesian Statistics' by Dr Robin Samuel at Edinburgh Bioquarter Autumn 2015
- Programmed workshop contribution to National Centre for Research Methods "Developing synthetic data for administrative data sources" December 2015 <http://www.ncrm.ac.uk/training/show.php?article=4792>
- Participation in SLLS International Conference Dublin October 2015
- Participation in Workshop on Stata Programming for Social Surveys and Administrative Data Analysis September 2015
- Planned organisation of 1 day Masterclass on Methods to Identify Causal Effects by Sascha Becker September 2015 <http://www.adrn.ac.uk/news-events/upcoming-courses/identify-causal-effects>

- Programmed Workshop led ADRC-S's Peter Christen (Australian National University) on 'Record Linkage - Introduction, Recent Advances and Privacy Issues' July 2015 <http://www.adrn.ac.uk/news-events/upcoming-courses/record-linkage-workshop>

ADRC-NI and ADRC-E: ADRC-NI: in consultation with ADRC-E to run their synthetic data training course in Northern Ireland. This training will enable local researchers to acquire skills in support of applications to use synthetic data resources across the wider Network. Prospective dates for this training are December 2015.

Workstream 4:	ADRN Public Engagement and Communications ⁴	Report Date	29 June 2015
Main achievements (to include any external events of interest to the Board) <ul style="list-style-type: none"> • The ADS Communications team have developed a new animation which is available on the ADRN homepage http://www.adrn.ac.uk/ . This animation aims to make the data linkage process clear for a general viewer. It has been subtitled (English) to enable it to be used at events. A third is in development to take researchers through the user journey from initial contact through to publication of a summary of their findings. • The Communications and Public Engagement Strategies are being implemented across ADRN, ensuring consistency of messages, with individual centre strategies and planned activities within it • A public event in conjunction with the Royal Statistical Society has been organised for 08 October 2015. • ADS gave overview presentations on the ADRN at the Data Without Boundaries European Data Forum in March and to the Welsh Government Knowledge and Analytical Services Section. • ADRC-E attended Cheltenham Science Festival on 4-5 June as part of the UoS's Roadshow. ADRC-S Delivered lectures at Edinburgh Science Festival: Big Solutions in big data 16.4.2015 • ADRC-E has developed a Board Game which provides an opportunity to introduce concepts like datasets, research and analysis to Key Stage 2 children (juniors). From a public engagement perspective, it is aimed to get to the parents and teachers through the children. • ADRC-E: Peter Smith presented at the FSHS Research & Enterprise Executive Group Away Day on 20 May to promote ADRC-E and stimulate research projects in the Faculty; a seminar has also been organised on 14 July to raise awareness of ADRC-E and its facilities across the UoS; • ADRC-E: Dave Martin was invited to present on behalf of ADRC-E at the Science Europe Workshop in Brussels on 10-11 June; • Peter Smith was invited to speak about ADRC-E at the Stockholm University Demography Unit International Workshop: New Developments in Register-based Demographic Research in Stockholm on 11-12 June; he was also invited to attend the Data for Policy 2015 Conference held at University of Cambridge on 15-17 June; 			

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

- The ADRC-S secured external funding for Knowledge Exchange and Impact Grant' to host workshop on interoperability in cross-sectoral data sharing (delivered in June 2015)
- National Centre for Research Methods Pathways & Scottish Longitudinal Study Workshop: Social disadvantage, child health and attainment at Edinburgh Bioquarter.
- ADRC-NI: research seminar took place with Dr Anne Kouvonen, an ADRC-NI Co investigator, presenting on the use of administrative data in Finland and the potential benefits of Administrative Data Research for Northern Ireland. A short video for this seminar and a Directors report in support of Dr Kouvonen's ARC-NI project 'PROJ-008 "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"' is available via the ADRC-NI website. 34 attendees.
- The first ADRC-NI administrative data workshop was held on Tuesday 23rd June. The aim of the workshop is to inform potential researchers about the administrative data sets currently available via the ADRC-NI data prospectus, answer specific queries on data set variable content and their potential for research and also to capture researcher interest in other administrative data sets not yet available for research purposes. 25 researchers were registered (as at 19 June)
- ADRC-NI: Development of short film case study on ADRC-NI approved project looking at migrants and access to mental health care, (available at <https://www.youtube.com/watch?v=goC1-Ve5AOQ>)
- ADS: An informative interview with Professor Peter Elias on the origins of the ADRN is available on the ADRN Youtube channel at https://www.youtube.com/watch?v=auWRkS0rr_w
- ADRC-W had a stand at the Welsh Local Government Association Conference on 18 June
- ADRC-W had a stand and held a workshop at the WISERD Annual Conference on 2 July - ADRC Stand and workshops.
- The Research Institute for Applied Social Sciences at Grenoble University visited for a workshop on the 7th July.
- Bi lingual website materials have been developed by the ADRC-Wales.
- On the 3 June the ADRC-W hosted a guest speaker presentation by Mr Paul Allen who talked about 'Beyond GDP'

Outlook for next quarter

To include any external events (of interest to the Board)

- A survey of data owners is being developed to establish a baseline of data owner perceptions of barriers to data sharing. This will then establish any change of perception due to the Network's functioning.
- Development of a Network annual report continues, with the publication date to coincide with the joint ADRN/ RSS event on 08 October.
- External newsletter for stakeholders in development to coincide with the joint ADRN/ RSS event on 08 October.
- An ADRC Wales Law seminar will be held on the 27th July
- The ADRN will participate in Civil Service Live events across the country, September 2015
- A report on public engagement case studies will be presented verbally to the Board at its July meeting by Mrs Astley-Reid (ADS).

UK STATISTICS AUTHORITY

ADMINISTRATIVE DATA RESEARCH NETWORK BOARD

ADRN(15)14

Report from the ADRN Approvals Panel

Purpose

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

Recommendations

2. Members of the ADRN Board are invited to note the contents of this report and seek clarification on any issues raised by the report.

Summary

3. Since the last report to the Board the Approvals Panel has met monthly by tele/video conference on 17 March, 4 April, 11 May and 22 June. The Panel has continued to review project applications on an ongoing basis, and has continued to refine its method of operation where necessary.

Update on any changes to Panel membership

4. A second lay member, Jen Persson, has been recruited to the Panel.
5. One member, Iain Bell, who had been recruited to the Panel on the basis of his role within the Department of Education, has stood down. Other commitments have made it difficult for Iain to take part in the Panel.
6. Work is ongoing to recruit two members to fill the two vacant positions on the Panel.

Update on any changes to Operating Procedures

7. Panel dates for the remainder of 2015 are as follows:
 - i. 27 July;
 - ii. 2 September (face-to-face in Cardiff);
 - iii. 12 October;
 - iv. 16 November; and
 - v. 7 December.
8. Panel dates for 2016 are as follows:
 - i. 7 January (face-to-face in Belfast);
 - ii. 9 February;
 - iii. 7 March;
 - iv. 26 April (face-to-face in Southampton);
 - v. 16 May;
 - vi. 20 June;
 - vii. 18 July;
 - viii. 25 August (face-to-face in Edinburgh);
 - ix. 19 September;
 - x. 11 October;
 - xi. 7 November; and
 - xii. 12 December.

Approved Projects

9. The following projects have been approved since the last ADRN Board meeting:
 - i. PROJ-007-Sociodemographic characteristics, education attainment and self-reported health status of farmers in Northern Ireland;
 - ii. PROJ-017-The residential mobility of mental health service users;
 - iii. PROJ-021 - Understanding participation in post-compulsory education and training in Wales;
 - iv. PROJ-032 - Placement stability of children in out of home care in Scotland: a sequence analysis;
 - v. PROJ-023 - Improving the experience of dementia and enhancing active life: living well with dementia - the IDEAL study (Data linkage extension);
 - vi. PROJ-026 - Understanding the determinants of educational achievement and the association with health and well-being by age 14 in Wales;
 - vii. PROJ-031 - An investigation of maternal mental health and filial educational attainment in Scotland; and
 - viii. PROJ-035 – Examining the link between family health events and pupil performance indicators in Wales.
10. The panel requested further information for all of the above projects before making a final decision to approve the projects. The Panel has also viewed one additional project where additional information has been requested from the applicants before a final decision can be made.
11. Public facing summaries of the anticipated societal benefits of these projects (where drafted) is presented at **Annex A**. Summaries are not yet complete for the projects most recently approved by the Panel.

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

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

Ethical Review Guidance

13. In considering the ethical review outcomes that applicants have presented to the Approval Panel it has become apparent that some institutional ethical review processes are not well attuned to the nuances of research using administrative data. In order to address this the ADRN has produced a guidance document, explaining the working basis of the ADRN and highlighting some of the specific circumstances around the use of administrative data for research that are relevant from an ethical standpoint. The foreword of the document is signed by the Chair of the Approval Panel and the guidance has been circulated with an introductory covering letter, seeking feedback, from the Chair of the Approval Panel.
14. This initial circulation has been to the Research Ethics Committees (or equivalent) in the lead institutions of the ADRN (The University of Edinburgh, University of Southampton, Swansea University, Queens University Belfast and Ulster University) for initial feedback and is now being provided to ADRN applicants to assist them in making their ethical review applications.

John Sanderson, Administrative Data Service, 10 July 2015

List of Annexes

Annex A ADRN Approved Projects

Annex A ADRN Approved Projects

Proj-007	Socio-demographic characteristics, educational attainment and self-reported health status of farmers in Northern Ireland	This research will increase understanding of the socio-demographic make-up and health of Northern Ireland's farming community. It will also help to identify training and education need in the community. A survey in 2002, 'Farmers and Farm Families in Northern Ireland', found that over a quarter of all farmers (27%) were suffering from a long-standing illness or disability which limited their activities, and that 12% of farm households contained only people aged 65 or over. This research will allow the Department of Agriculture and Rural Development to see how much the situation has changed since, and to target sub-groups. The project needs to use the Network's services because the researchers want to use de-identified data from a number of sources, including 2011 Census data and the NI Agricultural Census 2010.
Proj-017	The Residential Mobility of Mental Health Service Users (MHSUs)	This project aims to improve knowledge of the mobility patterns of mental health service users, leading to better targeting of mental health services. Understanding where people with mental health problems tend to live can help identify areas where there is more demand for mental health services and can lead to more cost-effective mental health programmes, by helping to direct mental health care funds to where they are most needed and targeting diagnoses. The researchers intend to discuss the findings with health service providers, other academics, and charities such as Mind, and to produce summaries for non-academic audiences such as local authorities, health care professionals and policy makers. The project needs to use the Network's services because the researchers want to use de-identified data from a number of sources, including: Mental Health Minimum Dataset, the Index of Multiple Deprivation (2010); the Generalised Land Use Database (2005); the ONS Rural-urban classification (2011) and the Neighbourhood Statistics Household migration figures (2001).
Proj-021	Understanding participation in post-compulsory education and training in Wales	This project aims to find out more about the pathways into vocational learning in Wales. There is quite a lot of information available about higher education, but very little attention has so far been paid to vocational learning. The project wants to identify the pathways into vocational learning and understand the characteristics of those who take this route – such as disengagement with formal schooling, language problems or access to further education. This should help policy makers and educational researchers to understand the learning landscape in Wales. Results will be shared with other academics, but also with schools, Further Education colleges and others in the Higher Education sector, especially those involved in

		widening access – with the ultimate aim of improving policy and practice. The project needs to use the Network's services because the researchers want to use de-identified data from a number of sources, including: the National Pupil Database (NPD) for Wales, the Lifelong Learning Wales Record (LLWR) and the Welsh Examinations Database (WED).
Proj-032	Placement stability of children in out of home care in Scotland: A sequence analysis	This research aims to understand more about the patterns of instability which children experience when they're looked after away from home. 'Out of home' care is intended to provide the security and stability that a child is not receiving at home, but children can have the unsettling experience of a number of short term placements and movements between different types of placement. Government policy in Scotland aims to reduce this instability, and this project's results will look at how much that has succeeded by using de-identified data from a number of sources, including: Scottish Government Children Looked After Data, Scottish Government Attendance and Absence in Scottish Schools Data, Scottish Government Exclusions from Scottish Schools and Scottish Government Pupils in Scotland Census. The researchers will share their findings with the Scottish Government, social work agencies and other bodies to maximise the chances of influencing policy, practice or service provision. This would in turn lead to benefits for vulnerable children being looked after by social work services in Scotland.
Proj-023	Improving the experience of dementia and enhancing active life: living well with dementia - the IDEAL study (Data linkage extension)	Summary of potential public benefit not yet drafted
Proj-026	Understanding the determinants of educational achievement and the association with health and well-being by age 14 in Wales	Summary of potential public benefit not yet drafted
Proj-031	An investigation of maternal mental health and filial educational attainment in Scotland	Summary of potential public benefit not yet drafted
Proj-035	Examining the link between family health events and pupil performance indicators in Wales	Summary of potential public benefit not yet drafted

UK STATISTICS AUTHORITY

ADMINISTRATIVE DATA RESEARCH NETWORK BOARD

ADRN(15)15

Data Owner Engagement Strategy update

Purpose

1. This paper updates the Board on the ADRN approach to engagement with data owners.

Recommendations

2. Members of the Board are invited to note the approach proposed by the ADRN for engagement with data owners in **Annex A** and offer comment. Members of the Board are also asked to note the range of data owner engagement activities undertaken, presented in **Annex B**.

Background

3. At the meeting of the ADRN Board on 3 March 2015, the Administrative Data Service (ADS) presented a draft paper on data owner and engagement [ADRN(15)11]. This reported that the network's data custodian engagement strategy has the following four key objectives for the first eighteen months of operation (autumn 2014 to spring 2016):
 - i. to understand and make best use of existing relationships;
 - ii. to identify and build new relationships with key data custodians;
 - iii. to earn the trust of the breadth of data custodians, by engaging, listening and sharing information; and
 - iv. to establish mechanisms and tools to support data custodian engagement.
4. In the discussion about the paper, the Board recommended that a harmonised data owner and engagement strategy across the different Administrative Data Research Centres (ADRCs) was important as a disjointed approach could present a potential risk to the ADRN. It was also felt that the strategy focused too much on individual contacts and not enough on addressing the actual issues with gaining access to data and how these issues could be overcome. It was also agreed that it was essential that the strategy should demonstrate to data owners the value of the research and provide assurance to data owners about how the data will be used. The Board also suggested that the strategy should provide incentives for data owners to engage with and share data with the Network.
5. The ADRN Data Custodian Engagement Strategy, which is presented in **Annex A**, has been agreed with the ADRN management committee.

Simon Whitworth, ADRN Board Secretariat, 7 July 2015

List of Annexes

Annex A ADRN Data Custodian Engagement Strategy, Tanvi Desai, ADS

Annex B ADRN Data Owner Engagement Activity, Tanvi Desai, ADS

Annex A ADRN Data Custodian Engagement Strategy

Background

1. The Administrative Data Research Network (hereafter referred to as the Network) is a UK-wide partnership between academia, government departments and agencies, national statistical authorities, funders and the wider research community that will facilitate new economic and social research based on routinely collected government administrative data.
2. The Network's unique selling point is: establishing a new, legal, secure and efficient pathway for the research community to access de-identified linked administrative datasets. This will benefit our society by providing a greater evidence base to inform policy.
3. The Network comprises:
 - i. four Administrative Data Research Centres (ADRCs):
 - ADRC –England (ADRC E): led by University of Southampton
 - ADRC –Northern Ireland (ADRC NI): led by Queen's University Belfast
 - ADRC – Scotland (ADRC S): led by University of Edinburgh
 - ADRC – Wales (ADRC W): led by Swansea University
 - ii. an overarching Administrative Data Service (ADS), which is the information and co-ordinating body of the Network;
 - iii. data custodians (government departments and agencies, and national statistical authorities);
 - iv. the Economic and Social Research Council (ESRC) (the funding body); and
 - v. the UK Statistics Authority (UKSA) (responsible for the Network Board).

Our Vision

4. Our vision is: to benefit society and enhance quality of life through intelligent use of linked de-identified administrative data: "Better Knowledge, Better Society". Linked administrative data have the potential to be an invaluable research resource for potential economic and social benefit and will improve the UK's international standing in research.
5. Administrative data are currently underused and often inaccessible for research purposes. Data are routinely collected by national and local government and other public sector organisations for the delivery of a service.
6. The Network will provide training to approved researchers and a secure service to enable accredited researchers to access linked de-identified administrative data, in order to undertake new research for public benefit.
7. This new research will improve knowledge and understanding of the actions required to tackle a wide range of complex social, economic, environmental and health issues. It has the potential to provide new approaches to the development, implementation and evaluation of policy across governments, parliaments and assemblies across the UK.
8. For the Network to be a success, a shared, well-communicated approach to data custodian engagement is essential. Understanding how and where to target resources will be key to effective engagement. Therefore this paper outlines the Network's Data Custodian Engagement Strategy. Engagement is defined broadly in this strategy as the creation and maintenance of relationships with data custodians in order to meet the objects of the Network.

9. This strategy complements the ADRN-wide impact and communications strategy and public engagement strategy which includes the key messages for the Network when communicating with data custodians. It is also essential that the Network engagement activities work in partnership with other data engagement initiatives taking place outside of the Network.

Introduction

10. In the United Kingdom, government departments and agencies collect a wealth of information about people and organisations during the course of their day-to-day business. These administrative data are collected for operational purposes, for record-keeping and for delivery of services. They are not collected explicitly for the purposes of research, but they are in fact a crucial resource for a wide range of research with the potential to benefit society, particularly when two or more data sources are linked together.
11. However, there are a number of barriers and restrictions which may make research access to linked data difficult. The ADRN has been built explicitly to overcome barriers and ease the pathway for researchers (from academia, government, and the community, voluntary and social enterprise sector) in gaining secure, safe and ethical access to these data for purposes which have the potential to benefit society.
12. The Network recognises the difficulties that many data custodians have faced in responding to issues related to requests for access to their data for research purposes. Identifying legal pathways, ensuring confidentiality, designing robust methods for linkage to other datasets and undertaking such linkages are complex processes. Their effective management often places considerable strain on the limited resources that may be available to respond to such requests. This in turn has led to inconsistencies in decision making, variations in the interpretation of legal constraints, undue delays in access and different degrees of willingness to share data with academic and other researchers, all of which have contributed to the potential loss of important research opportunities. Despite all these difficulties, some important examples of the public benefits deriving from cross-departmental data linkage are now becoming evident and demonstrate how, with sufficient leadership, motivation and resources, the hurdles to the development of powerful new research resources can be overcome.
13. The Network has been established precisely to work with government departments and agencies to help address some of the issues they face in allowing research access to their administrative data. The Network includes staff with legal expertise to help track relevant legislation and its interpretation. We have expert advisory groups on issues to do with information assurance and data security, and statistical disclosure control. We have an Approvals Panel of independent experts and laypeople who consider the potential public benefit, scientific merit, ethical and privacy issues associated with proposed research before data are acquired. We have well-defined policies and procedures outlining agreed best practice in data linkage. We have user services staff with broad ranging data expertise to undertake data linkage, and advise researchers. In addition, we have established a Network of secure analysis facilities, to ensure research is conducted in a safe secure and ethical way.
14. In short, we have the organisational, institutional, administrative, personnel, expertise, and physical resources to help overcome the barriers data custodians face in sharing and linking administrative data for research.
15. We aim to help departments make better use of these under-utilised resources, which will provide efficiency gains through the re-use of existing data, reduced reliance on more expensive methods of data collection and will speed the production of policy-

relevant research. These goals sit neatly with the government's transparency agenda and are identified as a key commitment in the recent Open Data white paper (Cabinet Office, 2012).

16. The potential for mutual benefit of engagement between data custodians and the Network is clear. However, there is a risk that data custodians would be inundated with requests from individual researchers as the amount of research seeking to use these administrative resources increases. Therefore an important part of a data custodian engagement strategy is to establish the principles, procedures, and roles within the Network to ensure its engagement with data custodians is coordinated to maximise potential mutual benefits whilst minimising 'data request fatigue'.
17. This paper sets out to delineate how the Network can focus its engagements with the data custodians in a way that makes the best use of its resources in order to yield maximum benefit for researchers and, through their research, for society. This leads to the following aims:
 - i. to ensure appropriate and coordinated engagement with key data custodians;
 - ii. to embed data custodian engagement in our plans across the Network; and
 - iii. to encourage and facilitate data custodians as partners in the Network.
18. The Network's Data Custodian Engagement Strategy has four key operational objectives for the first eighteen months of operation (autumn 2014 to spring 2016). These are:
 - i. to understand and make best use of existing relationships;
 - ii. to identify and build new relationships with key data custodians;
 - iii. to earn the trust of the breadth of data custodians, by engaging, listening and sharing information;
 - iv. to establish mechanisms and tools to support data custodian engagement
19. This paper sets out the strategy for reaching these objectives. The sections below outline mapping and prioritisation exercises to identify key areas for resource targeting; levels and methods of engagement; and responsibility for engagement to ensure a coordinated approach.

Data Custodian Engagement Plan

20. There are over 400 departments and other public bodies that might engage with the Network. Data custodians will have a number of reasons for contact, and their roles as suppliers, customers or advisors will influence the approach to engagement. Therefore understanding data custodians' strategic and operational priorities will be key to a successful programme of engagement that supports the achievement of the Network's aims.
21. The engagement plan below covers mapping and prioritisation of data owner engagement, the methods of engagement and where responsibility for engagement lies across the Network.
22. The Engagement Strategy will allow for multiple points of contact with a data custodian to reflect different levels of engagement, such as strategic engagement or operational need. However all contact with a data custodian will be via the designated lead organisation and, in particular the person within that organisation who has been assigned the contact. A central Engagement Database (**Annex A1**) will be managed by the ADS to collate record and streamline contacts.

23. It is also be acknowledged that as partners in the Network data providers may initiate contact with the Network and therefore the approach to engagement will include plans and resources for reactive as well as proactive engagement

Mapping

24. Data custodians will already have varying degrees of awareness, engagement, and motivation to engage with the Network. Mapping the Network's existing relationships with data owners will record where engagement is already taking place, the type of engagement and the key point of contact for that relationship. This will support the Network's objective to understand and make best use of existing relationships.
25. ADS will lead a data custodian mapping exercise. ADRCs will contribute information on their existing relationships with data custodians in order to ensure a comprehensive record and coordinated engagement. The 'map' of data custodians will be reviewed by ADS in consultation with the Network and submitted to the ADRN Management Committee (MC) every 6 months.

Prioritisation

26. In order to target Network resources effectively a prioritisation exercise will be undertaken. The exercise will consider drivers for engagement, dataset demand, and existing pathways and relationships. It is suggested that initially the three primary drivers will be:
- i. operational need – where a data custodian has data requested by a researcher; or where a data custodian is the researcher;
 - ii. strategic need – where a data custodian, or Network, has strategic influence within the public sector or with other opinion formers; and
 - iii. scientific need – where expertise in a discipline, methodology or dataset is sought by members of the Network, or data custodians
27. A financial driver will also be considered as some current Network activity is co-funded by data custodians. This driver may become more important in the future as the Network needs to consider funding for additional activities or financial sustainability.
28. Alongside the drivers for engagement the exercise will consider the likely demand for particular administrative datasets, as well as data covering particular topic areas more broadly. The assessment of likely demand will draw on the knowledge of experts within the Network, on researcher queries, and drivers created by Research Councils' priorities. For future revisions information gathered during stakeholder engagement activities organised by the Network's Public Engagement and Communications teams will also contribute to our understanding of researchers' data priorities.
29. The prioritisation exercise will also consider existing pathways to access, and the relationships that exist between Network staff and data custodians. This will help assess where resources should best be assigned, either to develop new relationships and pathways, or strengthen existing ones. Where there are existing relationships with data custodians, these will be used to secure a better understanding of their priorities in terms of drivers for engagement and dataset usage.
30. Alongside prioritisation for the Network's proactive engagement, resources will be assigned to ensure that Network can also react effectively to contacts initiated by data custodians.
31. The ADS will coordinate a prioritisation exercise with each region identifying key datasets for their research areas and likely drivers for their existing contacts. The

exercise will be reviewed by the ADS in consultation with the Network and submitted to the MC every 6 months.

Methods

32. A range of tools for engagement with the data custodians are currently being utilised and a number more will be developed in order that the Network has a suitable breadth of tools to support appropriate engagement with data custodians. This section outlines the mechanisms and tools that are, or will be, established to support data custodian engagement.
33. The most common form of contact is likely to be written, whether emails to support operational work, biannual Network newsletters, and feedback relating to datasets and projects, or the end of project research summaries that will be available to data providers. Central to written engagement is the ADRN website which contains all key messages and relevant information about the Network. The engagement process will also allow information on the efficacy and suitability of the messages to be fed back to the ADS web team enabling improvements in the targeted messages.
34. An important form of contact, particularly in the initial phases of engagement with data providers, will be via face-to-face meetings. These could be regular or one-off, and be used to develop relationships and to address specific issues relating to data, methodological or research questions. This type of contact also includes informal contact where Network staff have the opportunity to influence a data custodian with regard to the Network.
35. Telephone contact is another important form of contact covering teleconferences where face to face meetings are impractical, and mutual one to one support on issues around data access, usage and related expert advice.
36. Events in areas of interest to the Network and partners will also offer good opportunities for engagement. These would include events held by data custodians that Network staff are invited to present at or attend, the ADRN impact conference and other Network organised events. External events organised by the Royal Statistical Society, the UK Statistics Authority or UK Anonymisation Network may also present opportunities for engagement.
37. The Network will also investigate convening a Data Custodians' Forum, so that interested data owning departments and agencies can work with each other and the Network directly to ease research access to the wealth of data they collect and hold.
38. In order to have a strategic influence on the Network a data custodian may request or be invited to be part of the formal governance structure: for example as member of the Network Governing Board, the Network Approvals Panel, or as a contributor to one of the Expert Groups that advise the Network on standards and policies.

Engagement

39. This section categorises the different types (drivers) of engagement, and explains how engagement of that type will operate within the Network.
40. A central Engagement Database will be developed (Annex A1) that lists all the information uncovered in the mapping exercise, including key contacts in the Network and the data custodian. Contact with any government official listed in the database for ADRN purposes will be via the named Network contact. This single point of contact is a critical part of the ADRN strategy and has been implemented in order to make the best use of Network resources and meet the aims and objectives of this Strategy.

Strategic Engagement

41. Strategic engagement addresses areas where data custodians may have a strategic influence within the public sector or with other opinion formers, for example a senior civil servant who has a responsibility for her department's data release strategy; or who is a member of the ADRN Board; or who is involved in the development or application of legislation related to data sharing.
42. Strategic engagement will be led by the Network staff member who holds the lead contact in the department in question, except in the case of ADRC-NI where it will be led by a dedicated team in the Northern Ireland Statistics and Research Agency (NISRA). Network staff with one-off or on-going advisory roles to data custodians are also likely to have opportunities for strategic engagement. The ADRN-wide impact and communications strategy provides the basis for all Network strategic communications. All Network staff will be familiar with the key messages outlined in ADRN Information Statements for Data Custodians (2015).

Operational engagement:

43. Operational engagement will be critical to the day to day functioning of the Network, covering areas such as data discovery, securing access to data, and research support among others.
44. Operational Engagement is likely to require multiple contacts with a data custodian, and will therefore be coordinated by the ADS User Services team, with primary responsibility for engagement delegated to the main contact designated in the Engagement Database where appropriate.

Scientific engagement

45. Scientific engagement is most likely to be in the form of advice and collaborations between Network and government researchers. There is a wealth of knowledge across the Network and its' partners covering areas such as research methods, data security, and data content. Effective sharing of that knowledge will help to build trust as well as supporting the achievement of the Network's vision to benefit society through intelligent use of de-identified administrative data.
46. It is recommended that this type of engagement can be undertaken by anyone within the Network. All such contacts should be recorded in the central database.

Financial engagement

47. The Network is not currently resourced to buy data so this category only applies to data custodians who have a financial relationship with the Network. For example those who provide funding to Network (e.g. Welsh Government) or are ADRC partners (NISRA, the Office for National Statistics, National Health Service Scotland and the National Records of Scotland).
48. Financial engagement will be handled by the ADRC who has the financial relationship with the relevant government body, except in the case where the relationship is with the Economic and Social Research Council (ESRC), in which case the ESRC case officer for the Network will be notified where contact is deemed to be necessary.
49. Financial relationships will be noted for reference, but engagement with data custodians on financial issues will not be centrally recorded as part of the Engagement Database. An exception would be if a contact relating to a financial relationship was likely to impact the Network's strategic or operational functions.

Responsibilities

50. To ensure appropriate and coordinated engagement, the Network has agreed divisions of responsibility when engaging with data custodians, depending on where the custodian is located and the existing expertise within the Network.
51. Data owner engagement will be led by the ADS (for data covering England and the UK) or the relevant ADRC (for data covering the devolved administrations, Northern Ireland, Scotland and Wales). Primary responsibility for strategic engagement will lie with senior staff in the lead organisation in accordance with the ADRN public engagement and communications strategy. Primary responsibility for operational engagement will lie with the relevant user services team. Engagement with data custodians will be delegated to the Network members with existing expertise and contacts where appropriate.
52. Regardless of where primary responsibility lies, the ADS will be notified of all contacts with data custodians so that all engagement can be captured and coordinated, and duplication eliminated.
53. In order to maximise the benefits of Network expertise it is acknowledged that Network staff with existing personal contacts with government officials may not always have the time to become the single point of contact for a dataset or department. Where that is the case it is recommended that the Network staff member retains their existing contact, but actively introduces a member of ADS (for all government agencies that are not related only to a devolved administration) or the appropriate ADRC (for devolved administrations) to their government contact in order for that person to take over as the main point of contact. Contact with data custodians that have the potential to impact Network work in any way will be logged in the central database whether the Network staff member is the main point of contact or not.
54. The principles and standards presented here are designed to underpin ADRN's core principles and to ensure that ADRCs operate effectively and to equivalent standards when managing the risks inherent in any data sharing, linkage and analysis. In line with the ADRN principles above, where implementation of policies must vary, due to differences in local infrastructures or different legal frameworks among the devolved administrations, these will be fully documented in local procedural documentation.
55. The list below lists who will lead on data owner engagement depending on the geographical coverage of the data and local expertise.
 - i. ADS will be notified of all ADRN related formal contacts with data custodians so that all approaches can be centrally monitored, ADS will also be kept informed of informal contacts where they may have an impact on the operations of the Network;
 - ii. where data are related to and owned by a devolved administration (e.g. Northern Ireland, Scotland, or Wales) the ADRC for that administration will usually lead on negotiations unless ADS is notified otherwise;
 - iii. where data are UK wide the ADS and ADRCs will discuss who should take the lead based on existing contacts with the data custodian, resource availability, and data custodian preference; and
 - iv. where the data combine elements of data from different devolved administrations ADS will coordinate a joint approach making use of the most effective contacts.
56. Where the Network faces significant problems in engaging with data custodians, particularly surrounding access to administrative data sources the ADRN Management Committee may ask for the support of the Board in addressing the issues.

Evaluation

57. An evaluation of the effectiveness of this strategy will take place biannually. The evaluation will be led by ADS. The evaluation will be reported to the Management Committee to assist in their review of the strategy. The report on the evaluation and subsequent review will also be presented to the Network Board for information.
58. Data custodians, who the Network has had contact with, may be approached for their feedback on the effectiveness of the strategy with regard to strategic and scientific engagement. Network key performance indicators and feedback from users and Network staff will inform the evaluation of the operational strategy.

Annex A1 Central Engagement Database

It is proposed that the database include the following fields:

1	Name of department or agency	
2	Department type	ministerial/non-ministerial/agency and other public body/devolved administration / public corporation
3	Geographical remit	UK / England / England and Wales / Northern Ireland / Scotland / Wales
4	Priority	1-4 or not until requested
5	Department Senior Information Risk owners (SIRO)	
6	Network personal contact with SIRO	Any Network staff who have existing close relationship with the SIRO
7	Network key SIRO contact	The person who is Network's key contact with SIRO if different from above.
8	Departmental Directors of Analysis network (DDAN)	
9	Network personal contact with DDAN	Any Network staff who have an existing close relationship with the DDAN
10	Network key DDAN contact	The person who is Network's key contact with DDAN if different from above.
11	Key Policy Maker(s)	
12	Network personal contact with	Any Network staff who have an existing close
13	Network key Policy Maker(s) contact	The person who is Network's key contact with Policy Maker(s) if different from above.
14	Social researchers	Department policy makers who have a relationship with Network staff or who have been identified as key for communications
15	Network contact for social researcher	Usually the person who submitted the name of the social researcher
For each person entered in fields 5-15 above and in 25 below		
16	Contact number	
17	Email address	
For fields 5, 8, 11, 14 for each meeting record		
18	Date of contact	
19	Name of Network contact	
20	Type of contact	Operational/strategic/scientific/financial/formal/informal
21	Present at meeting	List of people present at meeting/contact
22	Link to report	Link to meeting report outlining issues discussed and resolved, outstanding action, and action owners
Data acquisition		
23	Dataset name	
24	Dataset priority	If contact not initiated for specific project
25	Dataset contact	
26	Network point person	Who leads on contacts within Network
27	Project reference	

Please note the numbers are to simplify the table and to help in discussing it they do not indicate the exact number of fields or the position of the field in the final database.

Annex B – Data Owner Engagement Strategy update

Administrative Data Service (ADS) activity

1. Communications-Electronics Security Group (CESG): Regular meetings with Information Assurance Working Group chair and ADS Co-Director. CESG are advising on ADRN policies and procedures.
2. Cabinet Office: The ADS have taken part in strategic engagement around input to the development of primary legislation and ethics.
3. Department of Energy and Climate Change: Upcoming meeting to discuss ADRN (23rd July).
4. Department of Communities and Local Government (DCLG): Discussions surrounding data access starting with CORE data. DCLG have requested advice on assessing variable sensitivity.
5. Driver and Vehicle Licensing Authority (DVLA) are in the process of developing a data sharing strategy and have said that they do not intend to provide data to ADRN until that is finalised. ADS have offered ADRN input into the strategy, but no further contact at this stage.
6. Department for Work and Pensions (DWP): External Data Sharing Advice Centre (EDSAC), the DWP support team, have met with ADS User Services to discuss how to streamline operations. DWP have offered to set up a monthly meeting of analysts in an attempt to overcome one of the key barriers to data sharing e.g. that an analyst must choose to 'own' any data sharing project in order for it to go forward. This meeting will also be attended by a representative from ADS User Services. The monthly meeting will enable DWP to promote the research being done by ADRN and allow ADS to make a case for the research. ADS expect to submit the first applications for DWP data very shortly.
7. Higher Education Statistics Authority (HESA): ADS successfully supported Northern Ireland Statistics and Research Agency in accessing HESA data through Department for Employment and Learning Northern Ireland (DELNI). These data have now been delivered.
8. HM Revenues and Customs (HMRC): HMRC does not intend to share data with ADRN projects at this stage, due to the perception that involvement with ADRN may negatively impact HMRC Data Lab operations. ADS hopes to be able to engage with senior staff soon to start making a case for ADRN even if data are not immediately available.
9. Health and Social Care Information Centre (HSCIC): ADRN are examining the possibility of becoming an official 'intermediary' to HSCIC as a way of streamlining procedures and making the best use of available resources. Being an intermediary would enable ADRN to have the same access to information as HSCIC support staff and to grant access to the data under the same terms as HSCIC.
10. Ministry of Justice (MoJ): On-going engagement with senior staff at a strategic level. The MoJ Data Linking and Support team will meet (Thursday 23rd July) to discuss streamlining operations. In addition MoJ have requested help with metadata development and the ADS are examining the resource implications of this.
11. Universities and Colleges Admissions Services (UCAS): UCAS are in the process of developing a data sharing strategy. As part of this they have surveyed all 'applicants' for

their views on data sharing. This has led UCAS to conclude that consent is a requirement for them to share any of their data. ADRN have been invited to develop a statement (3-4 lines connecting to a single A4 page of text) requesting consent for the type of research we support. The statement alongside those from other organisations who wish to share UCAS data will be circulated in the autumn. Whatever the outcome of the request the first year of data will only become available in 2019 as UCAS have mandated a three year delay on data sharing after permission for information security reasons. No historical data will be made available.

ADRC England activity

12. The ONS ADRC-England coordinator met with the Census data custodian to explain the ADRN and that the Census is likely to be the most requested ONS source, and agree ways of working. The custodian is engaged and wants to support the network, but there are some limitations. However, their current position is that they will only make England and Wales Census data available through the ONS Virtual Microdata Laboratory and only ONS can be the Trusted Third Party. This may create barriers depending on the project. Working towards full accreditation of the University of Southampton facility, with ONS involved in this process, will be required before attempting to convince them to change their position on the secure setting.
13. The ONS ADRC-England coordinator met with the head of ONS social surveys to explain the network - they are engaged and supportive. They have also been involved in discussions about the current ONS survey pledge, and whether it is sufficient to allow us to release our survey data to be linked to another (admin) source. ONS legal services advise this would be legal, but we have agreed to ask the new national statistician's data ethics committee's view on whether it's ethical (e.g. what could a respondent reasonably expect given the wording).
14. The ONS ADRC-England coordinator also attended the ONS longitudinal study steering group to present on the ADRN. HSCIC (Garry Coleman) were also present by teleconference. ONS would be keen to support ADRN use of the Longitudinal Study (LS) but HSCIC would have to be involved in any project looking to link the LS due to the identifiers involved. Our agreed view was that a specific project application to test how this might work would be useful. For example, a researcher at University College London has a potential project looking to link DVLA data to the ONS Longitudinal Study. If approved, this may be executed by HSCIC linking the identifiers (subject DVLA agreement and at a cost), unless HSCIC agree to send the identifiers to ONS (which would be our preference).

ADRC Northern Ireland activity

15. A presentation was given to the Statistics Co-ordinating Group (SCG) on 21 May 2015, which includes representation from Senior Civil Servants in government departments. There was strong support for the ADRC from SCG members, who felt that high level endorsement from the Permanent Secretaries Group would assist with the data acquisition process by encouraging departmental participation at the highest level. It was agreed that SCG would signal their endorsement to the Permanent Secretaries Group, highlighting the benefits of the initiative and outlining the type of innovative research that it supports and seeking the Board's endorsement for Departmental administrative data to be released for ADRC-Northern Ireland purposes.
16. A number of key administrative data providers have already given their agreement in principle to engage with the ADRC-Northern Ireland and to list their data sources in the data prospectus. These include Census, General Register Office for Northern Ireland (in respect of Vital Events), Department of Agriculture and Rural Development (in respect of the Farm Census), Department for Employment and Learning (in respect of Students in

Higher Education), Electoral Office for Northern Ireland (in respect of the Electoral Register) and Land and Property Services (in respect of valuation lists).

17. Business Services Organisation (BSO) - Engagement with the BSO (who hold health registration and other health-related datasets) has been ongoing since the last meeting of the Steering Group. Following a paper presented to the BSO board at its 25 June meeting, agreement in principle has been obtained to make all of the BSO Primary Care Health data that is currently available for Northern Ireland Longitudinal Study (NILS) data linkage projects (albeit on a 28% sample basis) available for ADRC-NI research purposes. The ADRC-NI team have been contributing to the development of the paper.
18. Department for Social Development (DSD) - Following meetings, colleagues in DSD (which holds Social Security Benefits data) presented a paper to their Top of Group on Friday 8 May, who were supportive of the ADRC-Northern Ireland initiative. DSD have signalled their support for an ADRC-Northern Ireland research proposal and that they would be content to list DSD data on the ADRC-Northern Ireland subject to the appropriate legal gateway being ratified. NISRA are pursuing this in conjunction with DSD.

ADRC Scotland activity

19. ADRC Scotland has been in conversation with some UK wide data owners such as:

- i. DVLA;
- ii. Department for Transport;
- iii. HSCIC
- iv. Clinical Practice Research Datalink (CPRD) and
- v. DWP.

20. The ADRC-Scotland has engaged with National organisations such as:

- i. Scottish Exchange of Data (part of Educational Analytical Services Division in Learning & Justice Directorate of the Scottish Government);
- ii. the Scottish Housing Association;
- iii. Phoenix Futures (Scotland-based drugs charity);
- iv. National Services Scotland Information Systems Division;
- v. Energy Saving Trust (Scotland);
- vi. Police Scotland;
- vii. local authorities in Scotland; and
- viii. the Care Inspectorate.

ADRC Wales activity

21. ADRC Wales data owner engagement strategy is built on existing and newly developed relationships with key strategic bodies that have responsibility for the collection and management of data most relevant to ADRC Wales-based projects.
22. Welsh Government is a key strategic partner in the activities of the ADRC and is also the main data owner in Wales for administrative data. Welsh Government is highly supportive of the ADRC-Wales and is very proactive in the development and support of its projects.
23. There is a monthly meeting between the Chief Statistical Officer for Wales and ADRC-Wales staff. This meeting looks at all Welsh Government data requirements for projects and subsequent routes to access. It also reviews all current ADRC-Wales projects to identify any added value and to look at any potential crossover with other data analysis

centres within Wales (e.g. Secure Anonymised Information Linkage (SAIL) Databank) where this data may already be held.

24. Welsh Government also provides a route to other data owners, such as local authorities, and has facilitated data access discussions.
25. Examples of data supplied (and currently in discussions for) by Welsh Government for projects include:
 - i. education;
 - ii. health;
 - iii. economic;
 - iv. social services;
 - v. sports and recreation; and
 - vi. transport related
26. For third sector data the ADRC-Wales has links with the Welsh Council for Voluntary Action, the umbrella body for third and voluntary sector organisations in Wales.
27. The ADRC-Wales also utilises its allied research groups and networks to assist in the identification of data and data owners for projects. These contacts are facilitated through the co-applicant network of the ADRC-Wales on which representatives from a range of research groups and networks, such as the below, are represented:
 - i. Secure Anonymised Information Linkage (SAIL) is a Wales-wide research resource focused on improving health, well-being and services. Its databank of anonymised data about the population of Wales is world recognised. SAIL receives core funding from the Welsh Government's National Institute of Social Care and Health Research (NISCHR). A range of anonymised, person-based datasets are held in SAIL, and, subject to safeguards and approvals, these can be anonymously linked together to address important research questions;
 - ii. Wales Institute of Social and Economic Research, Data & Methods (WISERD) was established in 2008. WISERD draws together social science researchers from a number of disciplines including sociology, economics, geography and political science. The Institute is based within five Universities in Wales: Aberystwyth, Bangor, Cardiff, South Wales and Swansea, and works in partnership with other UK Universities;
 - iii. Research Institute for Applied Social Sciences (RIASS) is a flagship, cross Swansea University collaboration bringing together the very best research expertise within the social, human, health and environmental sciences. Drawing on the expertise of research centres across the institution, RIASS is ensuring that the applied social sciences are embedded throughout the University; and
 - iv. Centre for Improvement in Population Health through E-records Research (CIPHER) is one of the four co-ordinating centres of the Farr Institute. It is a multinational research partnership between academia, the UK National Health Service (NHS) and industry, focussed on improving the lives of patients and the population through informatics.
11. To ensure there is no duplication or crossover with other projects, all data requests go through a joint committee that covers other research centres.

Dr Dermot O'Reilly

A view from the Administrative Data Research Centre – Northern Ireland

Oral report

UK STATISTICS AUTHORITY

ADMINISTRATIVE DATA RESEARCH NETWORK BOARD

ADRN(15)16

Critical Success Factors

Purpose

1. This paper presents a refined list of critical success factors (CSFs) and their measures. The paper also presents the process undertaken by the ADRN Management Committee and the ADRN Project Managers Working Group (PMWG) that led to the final list of CSFs and their measures. It includes the deliberations of a Workshop on the 25 March between the ADRN Management Committee, the PMWG, the ESRC and the UKSA which produced the refined CSFs.

Recommendations

2. Members of the ADRN Board are invited to:
 - note the detailed discussions to refine the list of critical success factors (CSFs) and measures (Annex A); and
 - endorse the refined CSFs and the measures (Annex B).

Background

3. The critical success factors (CSFs) and their accompanying measures will enable the Board to fulfil its assurance role to Parliaments. CSFs provide evidence that key factors or activities, which are critical for the success of the ADRN, are in place so that the ADRN benefits can be realised. CSFs and related measures are to be used in the context of ADRN reporting and reviewing activities such as annual reports and mid-term reviews.
4. On 29 September 2014, Dr Armstrong (ESRC Senior Responsible Owner) presented a list of CSFs together with related measures to the Board for review and discussion. The Board offered comments and suggested additional measures:
 - i. the cost per project;
 - ii. the total number of security breaches;
 - iii. the diversity of the data providers that had engaged with the ADRN; and
 - iv. how long each part of the data journey had taken.
5. The recommendations made by the Board to improve the CSFs and particularly their measures prompted a series of discussions among the Project Managers' Working Group (PMWG), and the ADRN Management Committee in order to finalise a list of CSFs and measures. These series of discussions are summarised in **Annex A**. The UK Statistics Authority has been participating in these discussions.
6. On 25 June the Management Committee discussed the PMWG work to revise the measures for appropriateness and identify a collection and reporting schedule and a dashboard of indicators. The Management Committee agreed that the revised CSFs were appropriate and although the measures needed some final revisions, they reflected previous discussions.

Discussion

7. Annex B lists these CSFs and their accompanying measures that have been the outcomes of the meetings between the Management Committee, the PMWG and the UKSA and ESRC. There is an additional table that aims to map the revised CSFs to the ones seen by the Board in their September 2014 meeting

Fiona Armstrong, Economic and Social Research Council, 7 July 2015

List of Annexes

Annex A: Discussions to Refine the Critical Success Factors, Fiona Armstrong, ESRC

Annex B: Revised Critical Success Factors and Measures and Mapping to original Critical Success Factors, Fiona Armstrong, ESRC

Annex A Discussions to Refine the Critical Success Factors (CSFs)

1. The ADRN Management Committee at its January 2015 meeting discussed the need to agree on a set of metrics and indicators that the ADRN (including the Board and the ESRC) would be comfortable with, and that would be “fit for purpose”, i.e. being practical to collect and report on, whilst enabling the Board to undertake a meaningful review of the ADRN and its critical success factors. The Management Committee tasked the ADRN Project Managers Working Group (PMWG) to organise a facilitated workshop to take this discussion forward with all key stakeholders including the ADRN Management Committee, the Project Managers, the Chairs of the Working Groups, the ESRC and the UK Statistics Authority.

ADRN Metrics Workshop – 25th March: Objectives and Process

2. The Project Managers Working Group (PMWG) organised a facilitated workshop on 25 March 2015 for the Management Committee (MC). The focus of this workshop was to discuss Critical Success Factors (CSFs).
3. There were representatives from all four ADRCs, ADS, the ESRC and UKSA. The chairs of the working groups were also invited. The workshop took into consideration the perspectives and needs of the different key stakeholders (ADRN MC, ESRC, UKSA) and sought clarity and agreement on the essential things, and associated parameters, which the network needs to do well in order to enable success.
4. In reviewing and revising the CSFs, participants of the 25th March workshop sought to:
 - i. produce a small number of CSFs that are critical to the success of the main work streams of the network with the newly acquired knowledge of the capabilities and realities of a fully functional ADRN since November 2014;
 - ii. retain the areas of work that the original CSFs sought to capture (service, training, public engagement, etc);
 - iii. revise the old CSFs so that these capture the specific elements that need to be in place for the success of the ADRN rather than outcomes or benefits; and
 - iv. ensure that the revised CSFs and their measures are specific and clear and provide the Board with unequivocal answers to whether or not these factors had been achieved and implemented.
5. For example, the CSF specifying “a robust, efficient and harmonised ADRN, with appropriate safeguards in place” needed to be rephrased so as to capture the exact factors that needed to be in place in order for the ADRN to be robust, efficient, harmonised etc. As a result, the participants (ADRN MC, ESRC, UKSA) agreed to replace this CSF with the following ones: “principles, policies and procedures are in place for safeguarding data”, “accessible facilities in each country”, “approved projects are being executed”.
6. Another example was the revised CSF of “*An engaged, upskilled, and enthusiastic UK researcher community*” which participants felt that it captures a longer term outcome or benefit. The new CSF “Everyone who uses the Network is trained to carry out safe research” captures the training element of the ADRN that needs to be in place for a successful ADRN.

7. The outcomes from this workshop were that seven new CSFs were agreed. Annex B lists these revised CSFs and maps those against the original ones in terms of the work streams of the ADRN that both have tried to capture.

Next Steps Following the Workshop

8. Subsequently, in April 2015, during their meeting in Edinburgh, the ADRN Management Committee agreed to the proposals of the PMWG for seven CSFs. It was also proposed that the PMWG review the collection of information to ensure that reporting will be in place for the mid-term review. Management Committee members confirmed that further work on the measures to monitor the CSFs was essential and urgent and tasked the PMWG to refine the CSFs and measures and to bring these to the next MC meeting.
9. The PMWGs have been working to identify appropriate operational measures and to finalise a dashboard of these that will enable the following;
 - i. the internal working groups to monitor operations in their respective areas,
 - ii. the Project Managers to monitor operations across the ADRN, and
 - iii. the ADRN Management Committee to take strategic decisions.

Annex B ADRN Revised Critical Success Factors and Measures and Mapping to original Critical Success Factors

	CRITICAL SUCCESS FACTOR	MEASURES ¹
1	Accessible facilities in each country	<ul style="list-style-type: none"> Facility in each country of the UK Facilities are accessible by researchers with disabilities
2	Everyone who uses the Network is trained to carry out safe research	<ul style="list-style-type: none"> Accreditation training programme in place
3	Create infrastructure remaining acceptable to data owners, the public and funding stakeholders	<ul style="list-style-type: none"> Time between approval and data with the Third Trusted Party (TTP) set out by project (i.e., time during negotiations with data owners for each project with Approvals Panel agreement until data is in the TTP) Number of data supplier data sets accessed: target 100% of data sets require Stakeholder feedback exercise
4	Approved projects are being executed	<ul style="list-style-type: none"> Logged projects with ADS compared with approved projects (i.e., total number of projects logged with ADS compared to those with approval from the Approvals Panel) Total number of accredited users named on projects approved by Approvals Panel Number of completed projects
5	Principles, policies and procedures are in place for safeguarding data	<ul style="list-style-type: none"> Number of data supplier data sets accessed: target 100% of data sets require
6	Demonstrating value for money	<ul style="list-style-type: none"> Impact of research undertaken through ADRN (i.e., definition to fit with Researchfish) <i>A further measure to be developed</i>

¹ There may be some slight changes as well as additions to these measures as they are being finalised following discussion at the ADRN Management Committee in June 2015, but overall the ADRN Management Committee agreed to these.

7	Well-developed Public Relations and Public Engagement direction	<ul style="list-style-type: none"> • % of research summaries available on the ADRN website to the public • <i>A further measure to be developed</i>

	CRITICAL SUCCESS FACTOR – June 2015	CRITICAL SUCCESS FACTOR – September 2014
1	Accessible facilities in each country	<i>A robust, efficient and harmonised ADRN, with appropriate safeguards in place</i>
2	Everyone who uses the Network is trained to carry out safe research	<i>An engaged, upskilled, and enthusiastic UK researcher community</i>
3	Create infrastructure remaining acceptable to data owners, the public and funding stakeholders	<i>Public Confidence and engagement; Robust and transparent governance</i>
4	Approved projects are being executed	<i>A robust, efficient and harmonised ADRN, with appropriate safeguards in place; Service value: recognition from researchers, data providers and end users of research outputs of the value of a linked data service</i>
5	Principles, policies and procedures are in place for safeguarding data	<i>A robust, efficient and harmonised ADRN, with appropriate safeguards in place</i>
6	Demonstrating value for money	<i>Service value: recognition from researchers, data providers and end users of research outputs of the value of a linked data service; International impact: global recognition of the value of the UK ADRN</i>
7	Well-developed Public Relations and Public Engagement direction	<i>Public Confidence and engagement; Robust and transparent governance</i>

UK STATISTICS AUTHORITY**ADMINISTRATIVE DATA RESEARCH NETWORK BOARD**

ADRN(15)17

Information Security update**Purpose**

1. This paper provides an update to the Board on the progress with information security policies.

Recommendations

2. Members of the Board are invited to note and discuss the progress that has been made in the development of the information security policies.

Background

3. At the ADRN Board meeting on 3 March the Administrative Data Service (ADS) gave an oral update on information security. In this, the ADS reported that the Information Assurance Expert Group had provided substantial comment on a draft of the information security policies. It was also reported that the policies would be updated after a meeting with the Communications-Electronics Security Group on the 5 March.
4. **Annexes A to F** present the updated information security policies that have been developed and that have been agreed with the ADRN management committee.

Simon Whitworth, ADRN Board Secretariat, 7 July 2015**List of Annexes****Annex A Privacy Protection and Information Security, Tanvi Desai, co-director, ADS****Annex B Trusted Third Party Policy, Tanvi Desai, ADS****Annex C Secure Environment Policy, Tanvi Desai, ADS****Annex D Data Movement Policy, Tanvi Desai, ADS****Annex E Data Retention and Destruction Policy, Tanvi Desai, ADS****Annex F Breaches Policy and Procedures, Tanvi Desai, ADS**

Annex A Privacy Protection and Information Security

Scope

1. This document outlines the Administrative Data Research Network's (ADRN) information security principles. Information security and the safe-guarding of personal identities (whether these are individuals, households, businesses or other organisations) is a key ADRN commitment. These principles provide a foundation for the safe processing of de-identified administrative data that are to be accessed for the purposes of research that will benefit the UK public.
2. These principles inform the ADRN information security policies:
 - i. trusted third party;
 - ii. secure environments policy;
 - iii. data movement policy; and
 - iv. data retention and destruction policy.

Introduction

3. Scientifically sound and ethically robust research is an essential part of protecting and improving public services. Administrative data can give us an in-depth and accurate picture of society which is extremely valuable for social and economic research. The findings have the potential to significantly influence future government policy and how politicians and others evaluate existing policies. For more information on ADRN and the benefit of using administrative data for research, please see our website <http://www.adrn.ac.uk/admin-data/benefits>.
4. The ADRN is a UK-wide partnership between universities, government departments and agencies, national statistics authorities, the third sector, funders and researchers. We help accredited researchers carry out social and economic research using linked, de-identified administrative data – information which is routinely collected by government organisations.
5. The ADRN is strongly committed to abiding by a set of overarching principles, of which the following apply directly to Information Security:
 - i. ADRN1: the ADRN will always operate to protect the privacy and confidentiality of data subjects;
 - ii. ADRN4: the ADRN will ensure data are accessed safely and securely;
 - iii. ADRN5: the ADRN will be accountable and operate under appropriate governance; and
 - iv. ADRN10: these overarching principles must guide all ADRN practice across all Administrative Data Research Centres (ADRCs) and the Administrative Data Service (ADS), and key policy documents will also be network-wide. Where implementation of policies must vary, due to differences in local infrastructures or different legal frameworks among the devolved administrations, these will be fully documented in local procedural documentation, and will at all times adhere to these overarching principles.
6. The principles and standards presented here are designed to underpin ADRN's core principles and to ensure that ADRCs operate effectively and to equivalent standards when managing the risks inherent in any data sharing, linkage and analysis. In line with the ADRN principles above, where implementation of policies must vary, due to differences in local infrastructures or different legal frameworks among the devolved administrations, these will be fully documented in local procedural documentation.

ADRN1: ADRN will always operate to protect the privacy and confidentiality of data subject

7. ADRN will comply with legal guidelines and current legislation.
8. ADRN will keep abreast of, and comply with, best practice guidelines on information security.
9. ADRN will ensure that all staff have appropriate, and up to date, training in Information Governance and the law relating to the protection of individuals' privacy.
10. No research outputs will be released from the ADRN without the application of disclosure control to minimise the risk of re-identification. Scotland, Wales and Northern Ireland will have new tax and benefit devolved powers as a result of the recent devolution announcements. As functions are devolved, the statistics for these functions are also devolved.

ADRN4: ADRN will ensure data are accessed safely and securely

11. All data movements within the ADRN will be undertaken securely and individuals' privacy protected.
12. ADRN only provides access to de-identified data for ADRN Accredited Researchers with Approved Projects.

ADRN5: ADRN will be accountable and operate under appropriate governance.

13. ADRCs will only process data on behalf of the data controllers; they will not be data controllers in their own right.
14. ADRN will be transparent about data retention and destruction.
15. All data will be held and processed securely within the UK.
16. ADRN is committed to continual improvement in our processes and procedures and will continue to develop our information security procedures throughout the life cycle of the ADRN.

Annex B Trusted Third Party Policy

Scope

1. In order to support the Administrative Data Research Network's (ADRN) commitment to protect the privacy and confidentiality of data subjects a suite of Information Assurance policy documents have been developed to provide a framework for ADRN operations and to guide practice across all Administrative Data Research Centres (ADRCs) and the Administrative Data Service (ADS). This document outlines the ADRN policy in relation to a Trusted Third Party (TTP). All ADRCs will, in addition, have local procedures that outline how these policies are operationalised.
2. Other associated documents include:
 - i. information security principles;
 - ii. secure environments policy;
 - iii. data movement policy; and
 - iv. data retention and destruction policy.

Trusted Third Party

3. A TTP is an organisation that performs the matching of direct identifiers from different data sources.
4. The TTP fulfils a vital role in ensuring the privacy of research subjects. TTPs enable the ADRN to ensure that the data that can identify an individual is never held by the same entity that holds the analytical information (e.g. de-identified payload data or research data). The TTP receives identifying information from which it creates an anonymous index that matches the identifiers of the two datasets (which are then deleted). The index is then used by an ADRC to link the datasets anonymously to produce a de-identified research dataset.

Trusted Third Party Policy

5. This policy sets out the standards and requirements for parties who provide a Trusted Third Party service to ADRN, and is arranged according to the ADRN principles that the policies underpin. Each ADRC is required to ensure that all TTPs providing a service to them comply with this policy.

ADRN1: ADRN will always operate to protect the privacy and confidentiality of data subjects.

6. TTPs must agree to abide by ADRN applicable policies and procedures.
7. TTP physical environments and processes must be accredited by CLAS (CESG Listed Advisor Scheme) consultants. TTPs must comply with external audits as commissioned by the ADRN. TTPs will only ever transfer data to an ADRC or originating data controller. All data transfers must be secure and compliant with the Data Movement Policy.
8. For each research project the TTP will be provided with a clear specification regarding data requirements, including metadata such as a project/linkage proposal. TTPs will have data processing agreements with data controllers in place for all data they receive and process.
9. The TTP will only act as requested in the project specification, and the data processing agreement.

10. TTPs must notify the ADRC responsible for the approved project for which the data are being created, and the data controllers, if data, or information, are received that are not in the project specification.
11. TTPs will generate project specific matched index numbers in line with CESG's specification. TTPs will follow the requirements of the ADRC that is responsible for the approved project for which the data are being created in relation to the treatment of unmatched data, which will be in accordance with the project specification.
12. Any organisation within the ADRN that is undertaking multiple roles of data controller, TTP and/or ADRC, must have an explicit separation between the functions. This must include separation of staff, projects and direct management responsibility, and a separation of all IT facilities either physically or virtually.
13. TTPs are not required to create 'derived variables' from two or more datasets. To ensure the 'separation of function' principle is maintained derived variables will be created within the ADRCs.

ADRN4: ADRN will ensure data are accessed safely and securely.

14. TTPs may be asked to actively participate in the development stage of a project application.

ADRN5: ADRN will be accountable and operate under appropriate governance.

15. TTPs will operate under a written agreement between one or more ADRCs and the TTP.
16. TTPs are expected to have a major incident protocol related to data security and privacy breaches and must provide evidence of this to the ADRC they are working with.
17. A list of TTPs used by the ADRN will be available on the web site.
18. A summary report, including match rates will be prepared by the TTP and sent the ADRC on completion of the matching process.

Annex C Secure Environment Policy

Scope

1. In order to support Administrative Data Research Network's (ADRN) commitment to protect the privacy and confidentiality of data subjects a suite of Information Assurance policy documents have been developed to provide a framework for ADRN operations and to guide practice across all Administrative Data Research Centres (ADRCs) and the Administrative Data Service (ADS). This document outlines the ADRN policy in relation to a Trusted Third Party (TTP). All ADRCs will, in addition, have local procedures that outline how these policies are operationalised.
2. Other associated documents include:
 - i. information security principles;
 - ii. secure environments policy;
 - iii. data movement policy; and
 - iv. data retention and destruction policy.

Secure Environment Policy

3. An ADRN secure environment comprises:
 - i. data centres or their equivalent e.g. the location where the de-identified research data are held and processed; and
 - ii. secure data access facilities e.g. the places in which researchers access de-identified research datasets (for example, safe rooms or safe settings).
4. It is acknowledged that in some ADRCs these two functions are contained within the same physical location.
5. This policy sets out the standards that each ADRC must adhere to and the requirements for other parties that may contribute to a secure environment.

ADRN1: ADRN will always operate to protect the privacy and confidentiality of data subjects.

6. All facilities must have current CLAS (CESG Listed Advisor Scheme) accreditation. This will ensure that all ADRCs operate to equivalent standards (Official Sensitive) in such areas as physical security, firewall provision and controls over staff with access to sensitive data.
7. The ADRCs are responsible for ensuring that clear written agreements are in place with external service providers in order that all parties understand their roles and responsibilities in ensuring ADRN Information Assurance.
8. The ADRCs will ensure that all researchers who access research datasets have Accredited Researcher status.
9. The ADRCs will ensure that the secure environment contains a separate (virtual or physical) secure area (a 'staging area') where the data can be processed (e.g. success of linkages checked and derived variables created) prior to allowing researchers access to de-identified data

ADRN4: ADRN will ensure data are accessed safely and securely

10. All ADRC staff are required to have security clearance at an level appropriate to their role. The ADRC will determine the level of security clearance required by staff in different roles after taking advice from a CLAS consultant.
11. Requests for modification of software or release of accredited researcher specific syntax into an ADRC secure environment will be considered by each ADRC on an individual case by case basis, taking into consideration the impact on information security.

Annex D Data Movement Policy

Scope

1. In order to support the Administrative Data Research Network's (ADRN's) commitment to protect the privacy and confidentiality of data subjects a suite of Information Assurance policy documents have been developed that provide a framework for ADRN operations and to guide practice across all Administrative Data Research Centres (ADRCs) and the Administrative Data Service (ADS). This document outlines the ADRN policy in relation to data movements. All ADRCs will in addition have local procedures that outline how these policies are operationalised.
2. Other associated documents include:
 - i. information security principles;
 - ii. secure environments policy;
 - iii. data movement policy; and
 - iv. data retention and destruction policy.

Movement Policy

3. Data are required to be transferred between various parts of the ADRN in order to create de-identified research datasets. This policy relates to how data are to be transferred between the following parties and is arranged according to the ADRN Principles;
 - i. the data provider and the Trusted Third Party (TTP) (identifiable data);
 - ii. the data provider and the ADRC secure environment (de-identified data); and
 - iii. the TTP and the secure environment (de-identified data).

ADRN1: ADRN will always operate to protect the privacy and confidentiality of data subjects.

4. All data movement will be in line with CESG¹ approved procedures: all transfers whether electronic or physical will use the encryption protocols and standards recommended by the CESG Security Characteristics appropriate to the classification of the data as specified by the data custodian up to and including "Official Sensitive" certification or equivalent². Only CESG Commercial Product Assurance scheme products will be used as external encrypted physical media (e.g. Eclypt drives).
5. No personal data will be transferred to researchers, only non-disclosive outputs which have been subject to statistical disclosure control will be transmitted to the researcher's organisational email address.

ADRN5: ADRN will be accountable and operate under appropriate governance.

6. The ADRN recognises the legal responsibility that data controllers have and will attempt to meet their requirements. However, the ADRN will not transfer data in ways where it is not confident that the security of data will be maintained.
7. The ADRN Management Committee will be the final arbiter of any disagreement between data controllers over the procedures regarding to data movement.

¹ CESG is the Information Security arm of GCHQ. CESG protects the vital interests of the UK by providing advice and guidance to the UK government on the security of communications and electronic data, in partnership with industry and academia. <http://www.cesg.gov.uk/Pages/homepage.aspx>

² CESG does not make these protocols publically available

Annex E Data Retention and Destruction Policy

Scope

1. To support ADNR's commitment to protect the privacy and confidentiality of data subjects a suite of Information Assurance policy documents have been developed to provide a framework for ADNR operations and to guide practice across all Administrative Data Research Centres (ADRCs) and the Administrative Data Service (ADS). This document outlines the ADNR policy in relation to data retention and destruction. All ADRCs will in addition have local procedural documents that outline how these policies are operationalised.
2. Other associated documents include:
 - i. information security principles;
 - ii. secure environments policy;
 - iii. data movement policy; and
 - iv. data retention and destruction policy.

Data Retention and Destruction Policy

3. Data of varying types are created and processed during the research process; 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. Initially all linked research data will be destroyed at the end of a research project. However, the ADNR recognise that there are potential research benefits and efficiency savings that could accrue from the retention of de-identified research datasets. Therefore this policy will undergo regular review taking into account the views of the public and data controllers, and research needs.
4. This policy outlines data retention and disposal requirements at different stages of the data journey. The policy also covers data generated by data controllers; however this should be seen as advisory only.

Overarching policies that apply to all data and information held by ADNR and partners

5. When deleting or destroying any data or information the ADNR, TTPs, researchers and other partners must ensure that it is done securely and effectively, and in line with CESG or data controller requirements.
6. Local ADRCs, TTPs and the ADS must have clear policies that ensure that data are deleted properly and that physical media are destroyed securely (whenever necessary).

Trusted Third Party Policy

7. Information held by TTPs and covered by this policy includes, but is not restricted to: 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 ADRC); sets of index numbers transferred to the ADRC, and any data returned to the data controllers.
8. TTPs must securely destroy all data on completion of the linkage process.
9. For the lifetime of the ADNR, TTPs will retain metadata on the linkage method, quality and where applicable matching statistics. This will also be supplied to the ADRC, and the ADS who will retain this information.

Staging environment for the creation of linked research data

10. All data linking using the indices created by TTPs takes place in a secure staging environment within an ADRC. The staging area is separate from the safe setting within which the researcher accesses the final research dataset.
11. Information created within a secure staging area that are covered by this policy includes, but is not restricted to: a copy of the attribute data created by the data controllers; the project specific matched index numbers supplied by the TTP; derived variables created by the ADRC; metadata.
12. Metadata will be retained by the ADRC for the lifetime of the ADRN.
13. Researchers will only receive access to data they need as specified in the application. Any data that has been created as part of the linking process that is not specified in the project application will be destroyed before the data are transferred to the safe setting for research access.
14. Once the research dataset has been created and deemed ready for access all the data within staging environment will be securely destroyed.

Research data

15. Research data covered by this policy include but are not restricted to: the de-identified research dataset accessed by the Accredited Researcher; any additional copies of research data created by the researcher; processed versions of the data; analyses or statistics that have been created but not approved for release; and syntax (analytic code that has been created in statistical packages such as SPSS, SAS, R, STATA).
16. The research data will be archived by the ADRC for a maximum of 5 years unless the end date stated in the project application is before that or unless the Accredited Researcher makes a valid application for an extension (that is approved by the data controllers), or the data controller specifies otherwise.
17. Following the active analysis phase of the project, data will be archived for the remainder of the five year period and only made available on receipt of a valid application (via the approvals panel) from the researcher (for example, to enable them to make revisions to a paper to have it accepted for publication).
18. 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.
19. The syntax generated by the research team will be retained by the ADRC for audit purposes for as long as the data are archived (see above). Syntax may also be retained by the Administrative Data Service for future use.

Approved statistical results and analytic outputs.

20. This policy covers all research outputs that have undergone statistical disclosure control and been approved for release into the public domain
21. Statistical results and analytic outputs will be archived for as long as the ADRN (or similar) is in existence.

IT back-ups

22. This policy covers: all information on the TTP network, staging environment and the ADRC safe environment.
23. The maximum time a backup may be retained in a TTP, an ADRC staging environment must be 48 hours.
24. All other areas data back-ups will be determined by local procedures.

Data extracts created by the data controller

25. This recommendation includes, but is not restricted to: syntax used to create the dataset, data containing the personal identifiers sent to the TTP, and attribute data sent to the ADRC/Secure Environment. Retention decisions for these data are the responsibility of the data controller, however:
- i. the ADRN encourages data controllers to retain any code/syntax used to extract data for ADRN projects, ideally for the life time of ADRN;
 - ii. the ADRN encourages data controllers to retain copies of the direct identifiers and the attribute data until the completion of the analysis phase of the project; and
 - iii. where possible, the ADRN encourages data controllers 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.

Annex F – Breaches policy and procedures

Scope

1. This document outlines the Administrative Data Research Network's (ADRN) policy and procedures for managing breaches of the Terms of Use, and other ADRN security procedures by ADRN researchers. ADRN is committed to protecting the privacy and confidentiality of respondents while promoting good research practice. This document supports these key commitments by providing a framework for applying penalties for misuse of sensitive data and breaches of ADRN procedures. The penalties outlined below do not exclude the possibility of criminal penalties..

Introduction

2. The Administrative Data Research Network (ADRN) is a UK-wide partnership between universities, government departments and agencies, national statistics authorities, the third sector, funders and researchers.
3. We help accredited researchers carry out social and economic research using linked, de-identified administrative data – information which is routinely collected by government organisations.
4. All researchers accessing ADRN data must be 'fit and proper' people which, among other things¹, means that researchers accessing data via ADRN are required to agree to the Terms of Use, and to be supported in that agreement by a legal representative of their employing organisation.
5. The agreement demonstrates that the user understands their responsibilities in relation to the data they are accessing and that they and their organisation understand the penalties that may be imposed for non-compliance with security or confidentiality. Mandatory training allows the ADRN to ensure that researchers are fully aware of their commitments.
6. Further, data controllers may impose additional requirements on researchers as a condition of data access; breaches of these additional conditions will also attract penalties under this policy.
7. The ADRN considers that a breach of procedures or data by a researcher is a serious incident which may attract a penalty. In addition where a law has been broken the ADRN will work with the Information Commissioners Office and the data controllers to ensure appropriate measures are taken.
8. There is also the potential for criminal penalties where there has been a non-compliance with the requirements of the Statistics and Registration Services Act, or any other legal gateway under which data access has been granted.
9. While the ADRN takes all reasonable precautions to minimise the possibility of a breach of data access procedure or a release of sensitive data, despite all safeguards in place, a security event or security incident might still occur. A certain amount of trust is placed upon users of the ADRN to use the service safely. This is particularly true in cases where secure remote access solutions, where direct supervision of researchers is limited, are allowed.
10. This document is designed to ensure that any breach of procedures or data is addressed efficiently and consistently across all components of the Network and that ADRN can ensure:
 - i. an effective and timely response;
 - ii. that the event is communicated quickly and effectively across all relevant parties;

¹ <http://www.adrn.ac.uk/faq/about-the-researchers>

- iii. that, in case of a security event or incident, the Network complies with applicable legislative and regulatory guidelines;
- iv. that the cause of an event and/or incident is identified and investigated;
- v. that, in case of a security event or incident, appropriate penalties are enforced on the user and their organisation; and
- vi. that measures are implemented to ensure a process of continuous improvement that minimises the possibility of further event and/or incident of a similar nature occurring.

Security events, incidents and breaches

11. Throughout this document a distinction is made between security events and security incidents. These terms are defined under International Organisation for Standardisation (ISO) 27001 as follows:

- an information security event indicates that the security of an information system, service, or network may have been breached or compromised, or that an information security policy may have been violated or a safeguard may have failed; and
- an information security incident is made up of one or more unwanted or unexpected information security events that could very likely compromise the security of information and weaken or impair business operations .

12. Stated another way – an information security event is any event which creates a situation where a security breach might occur, whereas an information security incident is an event where information security HAS been breached.

13. In addition to these standard definitions, ADRN also considers that breaches of procedures and terms of use are subject to penalties even in cases where information security has not been breached.

Roles and responsibilities

14. This section defines the 'roles' responsible for the various actions and decisions required.

These roles are formally assigned and a list made publicly available via the ADRN website.

The roles may be taken by staff in different positions across the ADRCs, but no one person will ever hold more than one role. All roles will also have a designated second in case of absence, unavailability of the primary role holder, or where the nominated Security Director is associated with a researcher or project under investigation. The role holders (or their nominated seconds) must be contactable at all times so that security event can be dealt with in a timely and efficient manner.

15. It should be noted that while the document refers to the ADS Security Director and Manager contacting data controllers, where the relationship is held by the ADRC in a devolved country the communication will be managed by the ADRC.

ADRC roles

16. 'ADRC Security Director': the role of ADRC Security Director is typically taken on by the Director of the ADRC, but this could also be a Co-Director or Principal Investigator responsible for information security. The ADRC Security Director has overall responsibility for the information security within an ADRC. In case of a security incident the ADRC Security Director is responsible for determining the appropriate penalty for researchers and organisations involved in collaboration with the other Security Directors (see Breaches Committee below). They are also responsible for assigning the role of ADRC Security Manager, or approving it for external safe settings.

17. 'ADRC Security Manager(s)': the ADRC Security Manager is responsible for the day-to-day running of the on-site secure access facilities. In case a security event is reported, the ADRC Security Manager is responsible for the security event assessment and, where necessary, the security incident investigation. A Security Manager will be assigned for each safe setting within the ADRC.

ADS roles

18. 'ADS Security Director': this role is typically taken on by the ADS Co-Director (Data and User Services). The ADS Security Director is responsible for setting minimum and maximum penalties for security incidents, liaising with the ADRC Security Directors in determining appropriate penalties for breaches, and for informing relevant parties (such as the Management Committee, data controllers, other data services and funders) of any security incident and the measures taken to address that incident including penalties imposed and corrective actions taken.
19. 'ADS Security Manager': this role is typically taken on by the ADS User Services Manager. The ADS Security Manager is responsible for keeping record of all security events and incidents that occur within the Network. During a security incident investigation the ADS Security Manager will be responsible for communication with data controllers, the Information Security Working Group and other elements of the Network as appropriate, allowing the ADRC Security Manager to focus on the investigation.

Network roles

20. Breaches Committee: The Breaches Committee is made up of all the ADRC Security Directors and the ADS Security Director. The committee is responsible for determining the level of penalty to be applied in case of a breach, in line with the guidance in this document.
21. 'Information Security Working Group (ISWG)': ISWG is responsible for developing, approving and implementing any corrective measures resulting from an information security event or incident, and for amending the Network's information security policy where appropriate in order to ensure continuous improvement, and to minimise the occurrence of security events and incidents.
22. 'Management Committee (MC)': The MC must be kept informed of all security incidents and events. In case of a security incident, the MC will report to ADRN Governing Board. The MC consists of representatives from all ADRCs, the ADS and the Economic and Social Research Council (ESRC).
23. A list of role holders will be available on the ADRN website.

Event assessment

24. It is the responsibility of all ADRN staff, ADRN users and users' organisations to report security events to the relevant ADRC's Security Manager as soon as they suspect an event may have occurred.

Actions

25. Once a security event has been identified the ADRC Security Manager must ensure that the following actions are undertaken as soon as possible (at most within 24 hours of the event being reported):
- i. suspend access from all researchers and projects affected, as well as related projects;
 - ii. inform the ADRC Security Director and ADS Security Manager of the security event;
 - iii. perform a security event assessment; and
 - iv. determine whether a security incident occurred.

Suspension

26. The ADRC Security Manager will immediately suspend access to all ADRN services for all users registered on projects involved in the event, including projects that share users with the suspended projects.
27. It is the ADRC Security Manager's responsibility to inform all users involved of their suspension and the pending security event assessment. In case not all researchers can be reached in the first instance, it is the responsibility of the users registered on the research projects to inform

each other. In exceptional circumstances (where none of the researchers can be reached, the organisations can be contacted by ADS Security Manager).

28. This suspension will remain in place until a security event assessment (see below) has been completed. At that stage, the suspension is either lifted or maintained depending on whether a security incident has been identified.

Information Security Director and ADS

29. The ADRC Security Manager is responsible for informing the ADRC Security Director and the ADS Security Manager of all security events immediately. The ADRC Security Manager can either contact the ADS Security Manager directly or through ADRN Helpdesk phone line.

Security assessment

30. The ADRC Security Manager will complete an assessment of the security event as soon as possible. The security event assessment will consider whether any actions taken by a user potentially violate their terms and conditions of access, in order to establish if a breach of ADRN information security policy occurred. The assessment is expected to be completed within 24 hours; this period may be extended if users are hard to reach.

Did a security incident or breach of procedures occur?

31. As soon as the security assessment is completed, the ADRC Security Manager (supported by the ADS Security Manager) needs to determine whether a breach in information security or a breach of Terms of Use occurred (i.e. whether or not the security event has resulted in a security incident or a breach of procedures).
32. If a security incident or breach did NOT occur, the ADRC Security Manager will lift all earlier imposed suspensions, and the research can resume as normal. The ADS Security Manager is responsible for informing the Chair of the Information Security Working Group (ISWG). ISWG in turn is responsible for amending the information security policy where appropriate to limit the probability of a similar security event occurring again, and for adjusting local procedures accordingly.
33. If a security incident did occur, the process continues with incident investigation (see next section).

Reporting

34. To report on the details of the security event, the ADRC Security Manager will complete a report on the event. The report will capture the following;
- i. date and time of security event;
 - ii. user(s) involved with the event;
 - iii. user(s) organisation;
 - iv. project involved;
 - v. other user(s) on the project;
 - vi. data available to user;
 - vii. data controllers; and
 - viii. nature of the event.

Incident investigation

35. This section covers the actions and reporting required in case the ADRC Security Manager has established that a security event led to a security incident.

Actions

36. If it has been established that a security incident has occurred, the following actions are expected to be completed within 72 hours:
- i. determine whether security incident affects the rest of the Centre [ADRC];

- ii. inform the Management Committee, data controller, and (in cases where a statutory offence has occurred) the Information Commissioner's Office. [ADS];
- iii. perform security incident investigation [ADRC, supported by ADS];
- iv. provide data controller with all relevant information in case a statutory offence occurred [ADS, supported by ADRC];
- v. prepare Security Incident Report for ISWG [ADRC, supported by ADS].

Impact on Network

37. If there is any possibility that at any point the security incident may affect other elements of the service provided by the ADRC, the ADRC is expected to shut down any part of the service that might pose a risk due to the incident, and suspend all access to data. The ADRC Security Manager is responsible for following local procedures to prevent related security events and incidents from occurring.

Inform relevant parties

38. ADS Security Manager is responsible for informing all relevant parties of the security incident as soon as possible:
39. The Management Committee will take note of the incident and await the Security Incident Report.
40. After informing the data controller the ADS Security Manager will function as a go-between the data controller and the ADRC, allowing the ADRC Security Manager to complete the incident investigation effectively.
41. Where a statutory offence has been committed the ADRC will work with the ICO in line with our legal responsibilities.
42. The Information Security Working Group will receive a copy of the redacted security incident report.
43. A full list of the parties that will be informed in case of security incidents will be available on the ADRC website.

Security incident investigation

44. The ADRC Security Manager, in conjunction with other members of staff, and with the support of the ADS where requested, will investigate the details of the incident and the circumstances leading to the incident, which will determine any penalties that are to be applied to the user and/or their organisation.
45. Users are expected to play an active role in the investigation, and should make time available to answer all queries by the ADRC Security Manager promptly and transparently; a failure to do so may lead to an increase in the severity of the penalty applied.
46. All contact with the user(s), via email, phone or in person will be logged by the ADRC Security Manager in order to better support the investigation and reporting.
47. The incident investigation phase is expected to be completed within 72 hours; this period may be extended if, for instance, users are hard to reach.

Statutory offence

48. Where the investigation finds evidence that a statutory offence has been committed (for example, a violation of statistical or data protection legislation), the ADRC Security Manager will immediately inform the ADRC Security Director, the ADS Security Manager and the ADS Security Director, whilst completing their own investigation. The ADS Security Manager will contact the data controller immediately, and the ICO and Police may also be informed.

49. The ADS Security Manager is responsible for collating all evidence and findings to support any decision on whether or not to pursue criminal charges.

Update and operationalise IA policy and procedures

50. Once an incident investigation has been completed, and the report created, the ADRC Security Manager must assess whether the security incident falls into the categories listed in Annex A1.
51. If the incident is not of a type listed, the ADRC Security Manager will inform and liaise with the ADS Security Director. It is the responsibility of the ADS Security Director to add the incident (or generic description of the incident) to the list of incidents and the Breaches Committee to decide on appropriate minimum and maximum penalties, irrespective of the current incident.
52. Once the incident has been defined along with the associated minimum and maximum penalties, whether this is new definition or an amendment in light of lessons learned, the next stage of the process is to determine an appropriate penalty for the occurrence of the incident under investigation. (See next section).

Reporting

53. Once the security incident investigation is completed the ADRC Security Manager will complete a Security Incident Report.
54. ADRC Security Managers are advised to use the incident report template as a guide for the incident investigation and will cover the following information:
- i. date and time of security event;
 - ii. user(s) involved with the event;
 - iii. user(s) organisation;
 - iv. project involved;
 - v. other user(s) on the project;
 - vi. data available to user;
 - vii. nature of the incident;
 - viii. whether ADRN Information Security procedures have been neglected or breached;
 - ix. the specific terms that have been broken, or legislation that may have been breached;
 - x. the nature of any unauthorised activity;
 - xi. the potential risk to confidentiality;
 - xii. whether any unauthorised modifications to software applications or hardware have been made;
 - xiii. what information was disclosed or potentially disclosed as a result of the incident;
 - xiv. any evidence that the host organisation's systems were affected by the incident; and
 - xv. preliminary assessment of the extent to which the event was caused by intentional efforts by the user.

55. Following completion of the Security incident report and sign off by the ADRC Security Manager, the Report will be used to inform the process of determining appropriate penalties for users and/or their organisations. A full copy of the report will be shared with the ADS. Summaries as appropriate will be shared with the Information Assurance Working Group, all affected users and their organisations, and other parties (e.g. data controllers) where legal and appropriate.

Applying Penalties

55. This section covers the actions and reporting of the final phase, applying penalties.

Action

56. After completion of the incident investigation phase, the following actions are expected to be completed within 48 hours:
- i. determine appropriate penalty [Breaches Committee];

- ii. implement penalty locally [ADRC];
- iii. apply penalty across the network [ADS]; and
- iv. inform relevant parties [ADS].

Determine appropriate penalty

57. The Breaches Committee is responsible for determining the appropriate penalty for the user(s) and or organisation(s) involved. The Security Incident Report will inform the process of determining the appropriate penalty.
58. This guidance will be applied in all cases where security incidents occur within ADRN to ensure that penalties are applied consistently across the Network.

Incidents and penalties

59. Annex A1 provides a list of categories of potential security incidents. Listed against each incident is a minimum and maximum penalty.
60. The first step in determining the appropriate penalty is to determine the category into which the incident falls from the list. In order to determine where the penalty will fall on the scale from maximum to minimum the following areas will be considered when assessing the incident and users involved. The penalty to apply on the scale from the minimum to the maximum penalty, the incident and users involved will be assessed on the criteria listed below.

Assessment Criteria

61. What is the sensitivity of the data involved? – Consider the sensitivity of variables and the type of data involved, for example, a breach involving data may be more serious than one involving results, as results usually contain a lower degree of statistical disclosure risk.
62. Was the incident malicious/deliberate? – Did the user deliberately ignore or circumvent procedures?
63. Will the penalty be effective? – a time limited ban can either hugely impede the researcher, or have no effect at all, depending on when the ban comes into effect. It is important to ensure that any ban has the desired impact.
64. What is the researcher's attitude towards the breach? – Do the researchers give the impression they are contrite about the security incident?
65. What is the likely impact of a data breach within the current project? – What is the likely impact on data subjects and data controllers in case of a breach? Are vulnerable populations affected?
Note: The Statistics and Registration Service Act 2007 considers the 'level of distress caused'.

Determining the penalty

66. The penalty for the incident and users will use the assessment criteria above to determine the appropriate penalty to apply on the scale between the maximum and minimum. Once the penalty has been determined the Breaches Committee will produce a Penalty Report giving details of the breach, the penalty assigned and the researchers, projects and institutions affected.

Implement penalty locally

67. It is the responsibility of the Security Manager to implement the penalty set by the ADRC Security Director. In order to do so, the ADRC Security Manager will follow local procedures.

Apply penalty across the network

68. It is the responsibility of the ADS Security Director to apply the penalty across the network, i.e. inform the researcher(s) and/or organisation(s) of the penalties imposed, inform all other ADRCs of the penalty that has been applied, and inform all other affected parties, see below.

69. Researchers affected will receive a Penalty Report; other relevant parties will receive redacted versions of the Security Incident Report.

Inform relevant parties

70. It is the responsibility of the ADS Security Director to inform all relevant parties: data controller(s); the Management Committee; the Information Assurance Working and Expert Groups; other data services; other funders; and the ICO where necessary. A full list of the parties that will be informed in case of security incidents will be available on the ADRN website. The data controller(s) will be informed of the penalty imposed on researcher(s) and/or organisation(s) and will get a redacted copy of the Security Incident Report.
71. The Management Committee will take note of the security incident, and will get a copy of the Security incident report. In turn, the Management Committee is tasked with reporting all security incidents to the ADRN Board.
72. The Information Assurance Working Group will amend the information security policy as appropriate to minimise the risk of a similar security event or incident occurring. The Information Assurance Expert Group will note the incident and comment on the appropriateness of the amendments made.
73. Other data services will be informed of the security incident and penalties applied. This information is shared for them to inform their information security policy, and to ensure that bans and suspension are effective.
74. Other funders will be informed of penalties applied where penalties affect them.
75. Where a statutory offence has occurred the Information Commissioner's Office will be informed as part of the ADRN's legal obligations.

Anonymity

76. The researcher(s) who committed the breach will only be identified to the parties who require the information for security purposes or to impose penalties. Therefore the Security Incident Report will be redacted to remove identifying information and the Management Committee, Expert and Working Groups will not usually receive the redacted copy.

Reporting

77. Once the appropriate penalty has been determined, the ADRC Security Director is responsible for completing a penalty report. These reports can be extracted from the penalty assessment tool and will contain the following information:

- i. user(s) the penalty applies to;
- ii. organisation(s) the penalty applies to;
- iii. date and time of security incident;
- iv. type of security incident;
- v. minimum and maximum penalties associated with the security incident;
- vi. scores on the assessment criteria;
- vii. overall score;
- viii. penalty applied;
- ix. start date of penalty; and
- x. end date of penalty.

Organisational penalties

78. In certain circumstances the ADS Security Director can also impose penalties on organisations. Examples of when these penalties might be imposed include but are not restricted to;
- multiple security incidents are caused by researchers from the same organisation.
 - the organisation is partially responsible for the security incident (e.g. not keeping anti-virus/malware software up-to-date in case of secure remote access).

Appeals process

79. Users can appeal against penalties. Appeals are considered if the researcher has provided evidence that:

- the security incident investigation, and assessment of appropriate penalties was not conducted in accordance with ADNR policies and procedures;
- some other material irregularity related to the process has occurred.

80. Appeals against the judgement of the Breaches Committee will not be considered.

81. To lodge an appeal the researcher must notify the ADNR Board [email] who convenes the Appeals Panel that they intend to appeal within 10 working days of receipt of the Penalty Report. The appeal must be submitted within 4 weeks of the receipt of the report and will be acknowledged within 10 days of receiving the appeal.

82. First, appeals will be subject to an initial scrutiny and additional background information might need to be gathered. This stage is to ensure that the appeal is made on the grounds indicated earlier with appropriate evidence in place. Appeals that do not meet the specified criteria (grounds, timescale) will be rejected and no further appeal can be made.

83. Appeals that are made on the grounds specified with evidence and within the specified time frame will proceed to a formal appeal's stage.

84. The Appeals Panel will convene a meeting three weeks after the submission deadline for the appeal.

85. In reaching a decision the Appeals Panel will have access to all documents seen and produced by the ADRC Security Director. The Appeals Panel may also draw on any relevant expertise in reaching their decision.

86. The Board's judgement is final and cannot be subject to further appeal.

Penalty tariffs

87. Penalties for individual researchers range from an official warning to a suspension from ADNR services (these services include data access at each of the ADRCs, user support, and the processing of applications).

88. In addition to a suspension from ADNR services, the ADS will notify other data services (a full list will be available on the website), in some cases, particularly for more serious breaches researchers may also be banned from these other services.

89. Finally, some penalties also include funding sanctions. Where such penalties are applied researchers will lose ESRC funding, and potentially other funding bodies (a list of funding bodies that will apply sanctions for ADNR breaches can be found on the ADNR website). Researchers will also be ineligible to apply for future funding for the duration of the ban.

90. ADNR aims to extend the list of funding bodies who will apply sanctions in case of breaches of ADNR Terms of Use. ADNR may also extend the list of data services that are notified in case of a breach. ADNR Researchers will be notified when a change is made to the list.

91. Details of penalties associated with different types of breach can be found in Annex A1 of this document: Table 1 lists security types of incidents, alongside examples of breaches that might fall under each type, and their associated minimum and maximum penalty, for one-off and repeat offences. Penalties for repeat offences may be applied to individuals who have caused a similar security incident on more than one occasion; they may also be applied to research teams where more than one individual in the same research team cause similar security incidents.

92. The last column of the Table 1 lists organisational penalties where these apply. The full lists of penalties available to the ADRN are listed in tables 2 and 3 in Annex A1.
93. In certain circumstances the ADRN Breaches Committee can also impose penalties on organisations. Table 1 in Annex A1 below shows which classes of incident may be subject to organisational penalties, and the appropriate penalty in the case of a single incident.
94. It is up to the discretion of the ADRN Breaches Committee, to apply organisational penalties in case researchers of a single organisation are involved with multiple security incidents.

Table 3: Penalties for Organisations

Q1	6 month suspension from ADRN services
Q2	12 month suspension from ADRN services
Q3	12 month suspension from ADRN services + 12 month sanction from listed funders
Q4	2 year suspension from ADRN services + 12 month sanction from listed funders
Q5	2 year suspension from ADRN services + 2 year sanction from listed funders
Q6	5 year suspension from ADRN services + 2 year sanction from listed funders
Q7	5 year suspension from ADRN services + 5 year sanction from listed funders

Annex F1 Security Incidents and Penalties

Table 1: Security Incidents

#	Description of security incident	First offence		Repeat offence		Potential Organisational Penalty
		MIN	MAX	MIN	MAX	
S01	Non communication of research impact	P1	P4	P2	P7	
EG1.1	Not informing ADRN of publications containing outputs released by the ADRN <i>Publishing statistical outputs without informing the ADRN within 3 months of publication. This includes presentations made at formal workshops and conferences.</i>	P1	P1	P2	P2	-
EG1.2	Not producing a two page plain English summary at the end of analysis <i>Not submitting a two page plain English summary within 3 months of end of analysis. This summary has to be submitted irrespective of other (or pending) publications.</i>	P4	P4	P7	P7	-
S02	Providing inaccurate information about data (ownership, copyright, consent etc).	P1	P9	P4	P9	
EG2.1	Incorrectly attributing copyright or other rights to oneself <i>(e.g. claiming copyright on the data)</i>	P1	P9	P4	P9	-
S03	Breach of information security procedures (grade 1)	P1	P9	P3	P11	Q2+
EG3.1	Not keeping login information secure <i>Users are expected to change their temporary password on first log-on. The chosen password should be memorable, and should not be written down.</i>	P1	P7	P3	P11	-
EG3.2	Bringing prohibited items into	P1	P9	P4	P11	-

	a secure room <i>Prohibited items are typically pen, paper, electronic equipment (e.g. mobile phone, tablet, laptop, and photo camera) see local access agreements for details.</i>					
EG3.3	Not keeping anti-virus/malware software up-to-date (secure remote access only)	-	-	-	-	Q2+
S04	Breach of information security procedures (grade 2)	P4	P14	P5	P14	Q2+
EG4.1	Using prohibited items in a secure room <i>Prohibited items are typically pen, paper, electronic equipment (e.g. mobile phone, tablet, laptop, and photo camera), see local access agreements for details.</i>	P4	P9	P5	P11	-
EG4.2	Accessing the ADRN remotely from an unsanctioned environment or place <i>(e.g. using remote access from a non-organisational desktop using VPN)</i>	P7	P14	P9	P14	Q2+
S05	Data breach (contained)	P2	P11	P5	P14	Q2+
EG5.1	Using data for purpose other than the one specified in application <i>The legal gateway under which the data is made available defines the purpose for which the data can be used according to the research application. Any other use of the data is prohibited.</i>	P2	P11	P5	P12	-
EG5.2	Copying statistical information or data from the screen in a secure environment <i>Writing down any information from the screen is prohibited. Except in secure room setups where dedicated whiteboards and/or paper are provided.</i>	P4	P11	P5	P11	Q2+

	<i>Note: at no circumstances can this information leave the secure room.</i>					
EG5.3	Failure to report spontaneous recognition. <i>In the unlikely event that a researcher believes that they have inadvertently identified an individual, the circumstances under which this happened must be reported.</i>	P4	P12			
EG5.4	Attempting to identify data subjects	P10	P14	P11	P14	Q2+
EG5.5	Attempting to access data to which not authorised	P11	P14			Q2+
S06	Data breach (uncontained)	P5	P14	P7	P14	Q1+
EG6.1	Sharing any (non-disclosive) data outputs which have not been approved <i>This includes sharing intermediate outputs or recalling outputs from memory, in papers, presentation or conversations with anyone other than accredited researchers on the project, where outputs are non-disclosive.</i>	P5	P14	P7	P14	-
EG6.2	Transferring log in details to other accredited researchers <i>Log in details should be kept secure, and cannot be transferred to other users.</i>	P7	P11	P9	P13	-
EG6.3	Failure to report a disclosure <i>Although unlikely, if outputs are cleared that turn out to be disclosive, researchers are responsible to report this to the ADRC Security Manager, and follow further instructions. Omitting to do so will result in penalties.</i>	P7	P12	P9	P12	Q1+
EG6.4	Giving access to data to non-accredited researchers <i>Allowing access to researchers not registered on the project.</i>	P10	P14	P11	P14	Q2+
EG6.5	Claiming to have identified a	P10	P14	P11	P14	Q2+

	data subject					
EG6.6	Using the ADRN and/or data provided for commercial purposes <i>Research is defined as 'commercial' where a direct objective is to generate revenue and/or where data are requested for sale, resale, loan, transfer or hire. This sanction covers statistical outputs as well as data within the safe setting.</i>	P11	P14			
EG6.7	Attempting to use data or outputs other than for statistical research <i>For examples using ADRN for government operational purposes or for media purposes not connected to a research project or publication</i>	P11	P14			Q1+
EG6.8	Making disclosive data available to others	P11	P14			Q2+
EG6.9	Sharing disclosive outputs <i>As S09, but in case the outputs are disclosive.</i>	P11	P14			
EG6.10	Accessing data to which not authorised	P12	P14			Q2+
S07	Providing false information on application forms	P11	P14			
EG7.1	Providing false information on the application form	P11	P14			
EG7.2	Altering the application form, user agreement or non-disclosure agreements	P11	P14			

Table 2: Penalties for Individual Researchers

P1	Official warning
P2	Suspension until retraining taken
P3	1 month suspension from ADRN services + notification to listed data services
P4	3 month suspension from ADRN services + notification to listed data services
P5	6 month suspension from ADRN services + notification to listed data services
P6	9 month suspension from ADRN services + notification to listed data services
P7	12 month suspension from ADRN services

	+ notification to listed data services
P8	18 month suspension from ADRN services + notification to listed data services
P9	2 year suspension from ADRN services + notification to listed data services
P10	2 year suspension from ADRN services + 12 month suspension from listed data services
P11	Permanent suspension from ADRN services + 12 month suspension from listed data services
P12	Permanent suspension from ADRN services + Permanent suspension from listed data services
P13	Permanent suspension from ADRN services + permanent suspension from listed data services + 2 year sanction from listed funders
P14	Permanent suspension from ADRN services + permanent suspension from listed data services + permanent sanction from listed funders

Table 3: Penalties for Organisations

Q1	6 month suspension from ADRN services
Q2	12 month suspension from ADRN services
Q3	12 month suspension from ADRN services + 12 month sanction from listed funders
Q4	2 year suspension from ADRN services + 12 month sanction from listed funders
Q5	2 year suspension from ADRN services + 2 year sanction from listed funders
Q6	5 year suspension from ADRN services + 2 year sanction from listed funders
Q7	5 year suspension from ADRN services + 5 year sanction from listed funders

Ms Trazar Astley-Reid

Public Engagement and Communication Strategy update

Oral report

UK STATISTICS AUTHORITY

ADMINISTRATIVE DATA RESEARCH NETWORK BOARD

ADRN(15)18

Legislative Issues

Purpose

1. This paper presents updates on the UK data sharing legislation, EU data protection regulation, and other relevant activity.

Recommendations

2. Members of the ADRN Board are invited to:
 - i. note and discuss the content of the paper; and
 - ii. consider the potential implications of the activities discussed for the ADRN.

Background

3. At the March 2015 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.
4. 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.

Discussion

5. On the 10 March there was a concluding plenary workshop with the then Minister for Cabinet Office Francis Maude. At this meeting, participants were informed that Cabinet Office would put together a draft white paper, which a new government could make a decision to take forward if they wished. This white paper will include the following elements.
 - i. A power to ensure that all public bodies (except health services bodies and adult social care bodies) are able, if they so wish, to link two or more datasets from two or more data controllers for research purposes. The data will be shared using a trusted third party sharing system and will be linked in a secure access facility. Only de-identified data will be made available to the researcher under controlled conditions. All the bodies and individuals involved in a data share (other than the data sources) would need to be accredited by an accrediting body.
 - ii. The potential alternative options if the Government decide to pursue an alternative to enable departments to share data with ONS without the need for affirmative resolution. These alternatives would be presented for consultation as a consensus on the best way forward has not been reached via the Open Policy Making Process.
 - iii. Clauses will be drafted that would change section 45 of the Statistics Act to permit HM Revenue and Customs to disclose personal information to the UK Statistics Authority for functions of the Authority.
6. The UK Statistics Authority and the Economic and Social Research Council (ESRC) have since commented on draft policy instructions that Cabinet Office have produced for Parliamentary Counsel with the aim of producing draft clauses that a new Government

could decide to take forward if it wished. The Cabinet Office is seeking further examples of research that has not proceeded due to legal barriers and the ESRC is coordinating input over the coming weeks.

7. A conclusion paper from the data sharing open policy-making work has been published on [Datasharing.org.uk](http://datasharing.org.uk). This can be found at: <http://datasharing.org.uk/2015/02/12/conclusions-of-civil-society-and-public-sector-policy-discussions-on-data-use-in-government/>.

EU Data Protection Regulation

8. On 15 June the Justice and Home Affairs Council agreed its General Approach on the entire Data Protection Regulation, including the important articles for research. This General Approach gave a mandate to allow the Council Presidency (Luxembourg) to negotiate with Parliament in trilogue taking place between the Council of Ministers, European Parliament and European Commission.
9. The Parliament has published a draft timetable for the trilogue, and the first meetings have already taken place. The timeline is ambitious, with resolution of final issues planned for December. The Regulation will be discussed in the order of the text, and as the main text on research is in Chapter 9, with important text also in Chapters 5 and 6, relevant meetings will be October and November.
10. The Board will recall that the Parliament's text is considered to be highly damaging for research as the scope of exemptions for research was significantly reduced from the original Commission text. However, the Council's agreed text is much more positive for research as it maintained key exemptions with significant safeguards for data subjects and flexibility for Member States.
11. The key issues of focus for the research community during discussions are:
 - i. promoting the inclusion of the research exemption allowing research using personal data to take place without consent where other safeguards are met;
 - ii. emphasising proportionate and appropriate safe guards to protect data subjects; and
 - iii. promoting harmonisation, as far as is acceptable, across members states, although it does now appear likely that some research provisions may be delegated thus allowing member states to implement culturally and socially acceptable solutions.
12. Other text and definitions that need careful monitoring include: the exemption for research in 'high public interest' as this ambiguity may prove difficult for legal interpretation; and whether pseudonomised data is specified as within the scope of the new legislation. ESRC will work with the Wellcome Trust and other funders to promote research interests as the trilogue discussions progress.
13. Messages and communications continue to be aligned across UK research funders. There has been on-going engagement and discussion with key UK departments: Ministry of Justice, Department of Health, and Department for Business, Innovation and Skills. The digital campaign continues to attract interest from across Europe. The datasaveslives.eu website has attracted 12,500 page views from over 5,000 separate visits. The twitter feed is also attracting interest and now has over 500 followers and is a forum for debate between researchers, patients and policymakers in Brussels.
14. On 16 June there was a 'Day of Action' in Brussels during which there was a well-attended symposium followed by more than 20 meetings with MEPs. The Wellcome

Trust and Cancer Research UK representatives met with several MEPs to raise the concerns of the research community in the UK.

15. The UK funders are now preparing the messages that need to be promoted during the trilogue, and are planning letters targeted at key influencers. There is a new Joint Statement summarising our position which has over 90 other signatories and this is now available at <http://www.wellcome.ac.uk/About-us/Policy/Spotlight-issues/Personal-information/Data-protection-legislation/index.htm>.

Simon Whitworth, ADRN Board Secretariat, and Vanessa Cuthill, Economic and Social Research Council, 7 July 2015

UK STATISTICS AUTHORITY

ADMINISTRATIVE DATA RESEARCH NETWORK BOARD

ADRN(15)19

Annual ADRN Board self assessment

Purpose

1. This paper presents the first ADRN Board annual self assessment. The agenda items that have been discussed during the first year of the ADRN Board are presented at **Annex A**. The planned agenda items that will be discussed over the course of the next year are presented at **Annex B**.

Recommendations

2. The Board are invited to consider the material presented in Annex A and Annex B and consider the following:
 - i. whether the appropriate agenda items have been considered by the Board (see Annex A) to enable the Board to carry out its role; and
 - ii. whether the agenda items listed in the proposed forward agenda at Annex B will enable the Board to carry out its role in the future.
3. The Board may also wish to provide feedback on any other aspect of the way the Board has operated over the course of the last year. This could include:
 - i. the quality of the papers;
 - ii. the timeliness of the papers;
 - iii. the updates provided by the Secretariat in between meetings;
 - iv. the board membership;
 - v. the annual board report;
 - vi. the frequency of meetings; and
 - vii. the published material on the work of the ADRN Board.

Background

4. The terms of reference for the ADRN Board state that the ADRN Board will conduct an annual self-assessment of its performance.
5. The role of the ADRN Board is to guide the strategic direction for the Network and to report and provide independent assurance to the Board of the UK Statistics Authority that the Network is delivering against its core objectives and is being developed, managed and maintained in a way that maximises its benefit to researchers and policy makers, taking account of the project scope and resources. It will also provide advice to the ESRC on these matters.
6. Specifically, to discharge its responsibilities, the ADRN Board has a remit to:
 - i. guide the strategic direction of the Network and oversee 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;
 - ii. agree the principles and policies for access to the Network, identifying and resolving any high-level issues which inhibit access to the Network;
 - 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 these risks;
- iv. provide oversight of the Network's public engagement and communications strategy, advice on engaging with data owners and related infrastructure investments, and advice on opportunities to engage with other administrative data infrastructures or investments in the UK and internationally;
 - v. provide advice on opportunities for sustainability and future development of the Network, including extensions to scope and resources within and beyond current funding commitments;
 - vi. formally review the operation of the Network after two years of its operation and make recommendations to the ESRC and the UK Statistics Authority;
 - vii. provide a report to the Board of the UK Statistics Authority after the end of each financial year describing what the ADRN Board has done during the year, what it has found during the year, and what it intends to do in the next financial year. It will also provide advice to the ESRC.

Simon Whitworth, ADRN Board Secretariat, 14 July 2015

List of Annexes

Annex A Items discussed in the first year of the ADRN Board

Annex B ADRN forward agenda items

Annex A Items discussed in the first year of the ADRN Board

1. This annex presents the papers that have been discussed during the first year of the ADRN Board and how they relate to the role of the Board.
2. The following agenda items are standing items on the agenda.

Role of the ADRN Board	Agenda item
Agree the principles and policies for access to the Network, identifying and resolving any high-level issues which inhibit access to the Network.	Approvals Panel
Guide the strategic direction of the Network and oversee 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.	Legislative issues
	Public engagement
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 these risks.	Highlight report

3. The following agenda items have been discussed during the course of the year.

Role of the ADRN Board	Agenda item
Agree the principles and policies for access to the Network, identifying and resolving any high-level issues which inhibit access to the Network.	Definition of an ADRN project
	Overarching ADRN policy principles
	Ethical approval of ADRN projects
	Appeals Process
	Information Assurance Policies
	Trusted third party linkage
Guide the strategic direction of the Network and oversee 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.	Data owner engagement strategy
	Exploring public's views on using administrative data for research purposes
	Positioning the ADRN; informing the branding and communication strategy (April, 2014)
	Demand management (June, 2014)
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 these risks.	Gateway Review and Benefits Realisation Plan
Formally review the operation of the Network after two years of its operation and make recommendations to the ESRC and the UK Statistics Authority.	Critical Success Factors (June, 2014)
	Benefits realisation plan

Provide a report to the Board of the UK Statistics Authority after the end of each financial year describing what the ADRN Board has done during the year, what it has found during the year, and what it intends to do in the next financial year. It will also provide advice to the ESRC.	Annual ADRN Board report
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Annex B ADRN planned forward agenda

This Annex presents the planned agenda items for future ADRN Board meetings.

3 November 2015

Item Number	Item
1	Minutes and matters arising from previous meeting
2	Chair's report
3	Highlight report
4	Legislative issues
5	Report from Approvals Panel
6	A view from the ADRC-England
7	Commercial access: public acceptability landscape
8	Mid-term review plans
9	ADRCs collaboration
10	Data owner engagement
11	Public engagement and communication
12	Any other business

1 February 2016

Item Number	Item
1	Minutes and matters arising from previous meeting
2	Chair's report
3	Highlight report
4	Legislative issues
5	Report from Approvals Panel
6	A view from the ADRC-Wales
7	ADRN Annual Board report
8	User experiences
9	Commercial access
10	Data owner engagement
11	Public engagement and communication
12	Any other business

11 April 2016

Item Number	Item
1	Minutes and matters arising from previous meeting
2	Chair's report
3	Highlight report
4	Legislative issues
5	Report from Approvals Panel
6	A view from the ADRC-Scotland
7	Mid-term review update
8	Sustainability and future development of the Network
9	Commercial access – possible ways forward
10	Data owner engagement
11	Public engagement and communication
12	Any other business

12 July 2016

Item Number	Item
1	Minutes and matters arising from previous meeting
2	Chair's report
3	Highlight report
4	Legislative issues
5	Report from Approvals Panel
6	Review of appropriate policies
7	Mid-term review update
8	Sustainability and future development of the Network
9	Board self assessment
10	Data owner engagement
11	Public engagement and communication
12	Any other business

7 November 2016

Item Number	Item
1	Minutes and matters arising from previous meeting
2	Chair's report
3	Highlight report
4	Legislative issues
5	Report from Approvals Panel
6	A view from the ADRC-Northern Ireland
7	Results from the mid-term review
8	Sustainability and future development of the Network
9	Commercial access – possible ways forward
10	Data owner engagement
11	Public engagement and communication
12	Any other business

Any other business