17th Meeting of the
National Statistician's Data Ethics Advisory Committee

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Minute, Agenda and Papers

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Tuesday, 2 July 2019

10:30-14:20

Board Room, UK Statistics Authority
London

UK STATISTICS AUTHORITY

NATIONAL STATISTICIAN'S DATA ETHICS ADVISORY COMMITTEE

Agenda

Tuesday 2 July 2019
Drummond Gate London
10:30am – 2:15pm

(10:30am to 12:30pm)

1 10:30am	Minute and matters arising from the previous meeting	Presentation Simon Whitworth
2 10:50am	Transfer from the University of York to ONS of the production of the quality adjustment and development of quantity output for the National Statistics publication, Public Service Productivity: Healthcare	NSDEC(19)10 James Lewis
3 11.10 am	Pay As You Earn Real Time Information: Improved Pre-Processing and its Utility for Labour Market Analysis	NSDEC(19)11 Harriet Robinson & Phil Wales
4 11:30am	Focus groups with children to explore what matters to their well-being	NSDEC(19)12 Eleanor Rees
5 11:50am	Environmental and Socio-Economic Impact Assessment for Siting of Geological Disposal Facilities	NSDEC(19)07 Dora Radosevic
6 12.10pm	Adding gender identity questions to the Crime Survey	Presentation Billy Gazard & Michelle Monkman

Lunch (12:30pm to 1:00pm)

(1:00pm to 2:20pm)

7 1:00pm	Update on Qualitative research to inform a feasibility study of whether a child abuse prevalence survey could be effective	Presentation Meghan Elkin
8 1:10pm	Update on Extending the Crime Survey for England and Wales (CSEW) to include a new module of questions on the online behaviour of children aged 10-15 years	Presentation Meghan Elkin
9 1:20pm	Online Crime Survey for England and Wales	Presentation Meghan Elkin & Ian O'Sullivan
10 1:50pm	Prize draw incentives use in a web-first survey	Presentation Lina Lloyd & Jen Farnall
11 2:10pm	Any other business	

National Statistician's Data Ethics Advisory Committee
Minute

Tuesday, 2 July 2019
Boardroom, Drummond Gate, London

Present
Members
Dame Moira Gibb (Chair)
Mr Stephen Balchin
Ms Vanessa Cuthill
Mr Keith Dugmore
Mr Colin Godbold
Dr Brent Mittelstadt
Ms Isabel Nisbet
Ms Marion Oswald

UK Statistics Authority
Dr Simon Whitworth
Dr Emily Mason-Apps

Office for National Statistics
Mr James Lewis (for item 2)
Ms Harriet Robinson (for item 3)
Dr Philip Wales (for item 3)
Mrs Eleanor Rees (for item 4)
Mr Billy Gazard (for item 6)
Ms Michelle Monkman (for item 6)
Ms Eleanor Scott-Allen (for item 6)
Ms Meghan Elkin (for items 6 and 9)
Mr Ian O'Sullivan (for item 9)
Ms Lina Lloyd (for item 10)
Ms Jen Farnall (for item 10)

Other
Mr Peter Lumb, HMRC (on phone for item 3)
Ms Dora Radosevic, Simetrica (on phone for item 5)

Apologies
Mr Rob Bumpstead
Ms Annie Hitchman
Dr Emma Uprichard

1. Minutes and matters arising from the previous meeting

1.1. The Chair welcomed members to the seventeenth meeting of the National Statistician's Data Ethics Advisory Committee (NSDEC).

1.2. Members approved the minutes from the previous meeting.

1.3. Dr Whitworth updated the meeting with progress on actions from previous meetings. Most actions were complete or in progress and would soon be complete.

1.4 Dr Whitworth presented a summary of the results from the Committee's annual self assessment. Following discussions, it was agreed that the NSDEC secretariat will:

- i. arrange a training day for NSDEC members later in 2019;
- ii. provide inter-meeting updates to NSDEC members;
- iii. review the current ethics application form;
- iv. when possible, share presentation slides with NSDEC members after meetings; and
- v. explore the possibility of creating a central repository where NSDEC members can access NSDEC papers and materials.

2. Transfer from the University of York to ONS of the production of the quality adjustment and development of quantity output for the National Statistics publication, Public Service Productivity: Healthcare [NSDEC(19)10]

2.1 Mr James Lewis from ONS presented a proposal to use the Hospital Episode Statistics Admitted Patient Care dataset and the Patient Recorded Outcome Measures data set to continue and further work on ONS's annual National Statistics publication 'Public Service Productivity: Healthcare'.

2.2 Mr Lewis explained that ONS will only seek to acquire this data and conduct this work if the Department for Health and Social care do not continue to fund the University of York's Centre for Health and Economics (CHE) who currently produce the quality adjustment.

2.3 This project was approved subject to Mr Lewis doing the following:

- i. clarifying the data retention period and including this in the application;
- ii. confirming that the ONS Data Access Platform will be the system used for data storage; and
- iii. providing clarification on who will own the Intellectual Property rights if the funding for CHE does cease, and ONS take over this work.

3. Pay As You Earn Real Time Information: Improved Pre-Processing and its Utility for Labour Market Analysis [NSDEC(19)11]

3.1. Ms Harriet Robinson, Economic Advisor at ONS (and part-time secondee at HMRC) presented a proposal to use Pay As You Earn (PAYE) Real Time Information (RTI) to produce improved aggregate statistics on labour market dynamics. This work aims to demonstrate the public value in using RTI data in official statistics by comparing RTI and ONS labour market measures, and to provide greater insight into to the British labour market by using RTI data to provide analysis on longer-term pay growth that is not currently possible to produce using ONS surveys.

3.2 Microdata from ONS surveys and the RTI systems will be analysed separately within the respective organisations that own the data, so there will be no linking between the two sources of data at the individual or employer level.

3.3 The Committee recognised the potential value and utility of the outputs that would be produced from this work. They recommended that the researchers explore the feasibility of conducting analysis for more refined sub-groups subject to maintaining appropriate disclosure control. NSDEC approved this research.

4. Focus groups with children to explore what matters to their well-being [NSDEC(19)12]

4.1. Mrs Eleanor Rees, Head of Social Well-being Analysis Team ONS, presented a project to conduct focus groups with children aged 10-15 to explore children's perspectives on what matters to their well-being. The proposed project is to be undertaken with The Children's Society, and results are intended to: inform the ONS indicators of children's well-being; underpin an annual State of the Nation Report on children's well-being requested by the Prime Minister; inform guidance for schools on measurement of children's well-being; and contribute to events associated with the 30th anniversary of the UN Convention on the Rights of the Child. The Children's Society intend to use the findings for England and Wales to revise their Good Childhood Index.

4.2 The Committee requested that Mrs Eleanor Rees provide a revised application to address the following points raised during discussions which could be considered by correspondence:

i. To maximise the potential public good of this research it was suggested that a wide variety of children's voices are heard in the focus groups. It was suggested that the proposed timing of this research and the proposed methods of engaging with children through schools may make it difficult to hear the voices of children whose schools may be shut at the time of the research or who are not in school. It was also noted that the Children's Society, who would be used to recruit participating schools, works in partnership with a network of Church of England schools. Mrs Rees was asked to provide further evidence in the application of the steps that will be taken to ensure the research effectively captures the diversity of children's voices across the UK.

ii. It was suggested that the public good section of the application could be further strengthened by providing more details on what potential decisions will be informed by the publications that this work will feed into and how this could have positive impacts. Mrs Rees was asked to provide this information in the application.

iii. It was suggested that further work was needed on the children's consent letter. This was considered important to enable children to provide informed consent. It was noted that the consent letter did not inform the child that the information they provided would potentially be quoted in pseudonymised form and Mrs Rees was asked to include this in the consent letter. Mrs Rees was also asked to include in the application the steps that would be taken to ensure that the language in the consent letter was appropriate for all participants given the range of ages included in the research.

iv. The Committee considered the intention to publish pseudonymised quotations from the focus groups and whether this could increase the chances of participating children being potentially reidentified. The committee asked the researcher to include further information in the application on what steps would be taken to reduce the chances of this, such as any information that will be given to the children about not sharing the content of the discussions outside the focus groups.

5. Environmental and Socio-Economic Impact Assessment for Siting of Geological Disposal Facilities [NSDEC(19)07]

5.1 Ms Dora Radosevic from Simetrica, presented a revised application from Simetrica, sponsored by Radioactive Waste Management, that wants to access deidentified data from the Annual Population Life Survey, the Community Life Survey and the National Survey for Wales to inform the likely socio-economic benefits of siting geological disposal facilities in Local Authorities that have expressed an interest in hosting these facilities.

5.2 The project was discussed at the previous NSDEC meeting in May 2019, and the Committee asked for the following major revisions to be made to this application:

i. making clear in the application that this research is not being done to influence Local Authorities to express an interest in hosting a geological disposal facility and that the analysis will only be conducted for those Local Authorities who have already expressed an interest;

ii. to work with any Local Authorities who have expressed an interest in hosting a geological disposal facility to get their views on what socio-economic indicators they would like the research to include;

iii. to commit to publishing more than just a summary of the research outcomes; and

iv. making clear in the application that this research should only be used to help inform the Local Authorities and therefore the local communities in their decision-making process rather than being used to directly inform the siting of the geological disposal facility.

5.3 It was noted that the application was still not clear about whether or not the data would be used to inform a siting decision, and it was not clear from the application what the community partnerships were or would do. NSDEC asked ONS to seek clarity for Simetrica about exactly what decisions access to this data would be used to inform, and to reconsider the public good of the project in light of any clarity provided at an appropriate level within the ONS executive. NSDEC reiterated their previous advice that the access should not be used to directly inform the siting of the geological disposal facility.

6. Adding gender identity questions to the Crime Survey

6.1 Mr Billy Gazard from ONS presented plans to add a question on gender identity to the self-completion module of the Crime Survey for England and Wales. The gender identity question will be presented in the same format and adhering to the same guidance as that developed for the Census. This involves first presenting a question about sex, followed by an optional question about gender.

6.2. The Committee acknowledged that great effort and care had been given to fully consider and address each of the ethical principles in the design and plans for this work.

6.3 Concern was expressed that this question is being added to a module that is not currently available in Welsh, despite the Census being available in many languages including Welsh.

6.4 Mr Gazard was asked to present an update on this work at the future NSDEC meeting.

7. Update on Qualitative research to inform a feasibility study of whether a child abuse prevalence survey could be effective

7.1 The Committee agreed to review this update via correspondence.

7.2 The Committee welcomed further updates on this project at future meetings.

8. Update on Extending the Crime Survey for England and Wales (CSEW) to include a new module of questions on the online behaviour of children aged 10-15 years

8.1 The Committee agreed to review this update via correspondence.

8.2 The Committee welcomed further updates on this project at future meetings.

9. Online Crime Survey for England and Wales

9.1 Mr Ian O'Sullivan from ONS Social Survey Transformation, and Ms Meghan Elkin from ONS Centre for Crime and Justice presented early work and plans to investigate the feasibility of moving the Crime Survey for England and Wales online.

9.2 It was reported that Mr O'Sullivan intends to bring a full project application to the next NSDEC in October 2019 for a project that will use qualitative methods to explore the views of victims of crimes and appropriate practitioners and gatekeepers.

9.3 The Committee recognised the careful ethical consideration that is being given to this work, and provided the following comments for the researchers to consider:

i. the hypothetical scenarios used to explore the potential risks of moving the survey online should include situations where males are depicted as the victim, as well as situations where respondents are completing the survey on other devices such as mobile phones;
ii. the researchers should consider how moving the survey online may affect response rates from different populations or groups, as some may not have access to the internet or may have concerns about sharing information of this nature via the internet, while others may have a preference for this method compared to the current method of delivery of this survey;

iii. it is possible that some of the hypothetical scenarios present an accurate representation of real-life situations where victims may be placed at risk, so the researchers need to carefully consider what level of risk will be deemed acceptable;
iv. including a "hide button" on the online survey so that participants can quickly hide the survey from view will not be practically possible due to technical limitations;
v. the researchers should consider how support will be given to respondents, as well as how victims may feel sharing experiences in a text-based mode rather than face-to-face with an interviewer;
vi. consideration needs to be given to the uncertainties that arise from moving the survey online, such as who is actually completing the survey; and
vii. the researchers should thoroughly explore what work has been done to move similar surveys online in other countries.

10. Prize draw incentives use in a web-first survey

10.1 Ms Lina Lloyd and Ms Jen Farnall from ONS Social Surveys Operations presented a proposal to trial the use of prize draws as incentives to promote participation in two ONS mixed mode web-first household surveys.

10.2 The Committee asked Ms Lloyd and Ms Farnall to address the following points:

i. if participants are to be automatically entered into the prize draw, then it needs to be made as easy as possible for participants to withdraw themselves;
ii. the researchers should consider how the use of this incentive strategy may skew the sample, as although it may be effective with some populations, others may be suspicious of the offer of money or prizes of any kind, due to the rise of elaborate phishing scams purporting to be government departments;
iii. ONS should consider the reputational impact that could result from instances where someone who has not completed the survey, or has completed the survey inaccurately, wins the raffle prize;
iv. although the researchers have received legal advice that the use of a prize draw is not considered as gambling under Gambling Act 2005, further work needs to conducted to explore the public acceptability of this strategy, and confirm whether or not there are population groups who may still view this as gambling and would therefore not wish to be entered into a draw of any kind;
v. information about the odds of winning the prize draw should be openly and clearly communicated in the information letters that participants receive; and
vi. the researchers should seek legal advice regarding trialling different incentive strategies simultaneously within the same sample.

11. Any other business

11.1 There was no other business.

NSDEC(19)10

UK Statistics Authority
National Statistician's Data Ethics Advisory Committee

Transfer from the University of York to ONS of the production of the quality adjustment and development of quantity output for the National Statistics publication, Public Service Productivity: Healthcare

This project is dependent on a decision being made about funding. This application will be published in the event that ONS proceed to conduct this work.

NSDEC(19)11

National Statistician's Data Ethics Advisory Committee

Application for Ethical Review

Please consult the guidance document before filling in the application form

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Project Title

Please provide a title indicative of the project

Pay As You Earn Real Time Information: Improved Pre-Processing and its Utility for Labour Market Analysis

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Start Date: 13th November 2018 **End Date: 12th November 2019**

Project Sponsor(s)

Please list the project sponsor(s)

Office for National Statistics

Project Summary

Please provide a brief high level summary of the research giving necessary background (max 250 words)

Pay As You Earn (PAYE) Real Time Information (RTI) data offer an extensive window into the UK labour market, detailing the vast majority of payments made to employees in the UK. However, the data are collected as payments from employers, while the main concepts of interest to labour market data users are jobs and wages.

RTI data as they are collected from employers indicate how many payments are made to how many jobs or persons in a particular period. But, particularly in the short term, the people who are paid in a particular period are not necessarily the same people who are employed in said period. These and other conceptual differences may mean that simply summarising or analysing payments received in a period will not give an accurate picture of employment in that period.

By utilising various dimensions of the data – such as its longitudinal nature, collection of pay frequency, as well as start and leaving dates – we pre-process the data to reshape it from a payments dataset to a jobs dataset. The new dataset is designed based on EuroStat and International Labour Organisation guidelines, and effectively builds a picture of UK employee jobs by taking a daily snapshot of all said jobs. Doing so not only creates a micro-dataset which better meets international standards for labour market data, but can be used to produce aggregate figures that exhibit reduced volatility.

The granularity of these pre-processed data, alongside their coherence with methodological guidelines, will mean aggregates can be produced in a more comparable way with ONS statistics than was ever possible before. We will seek to produce comparable statistics between RTI and ONS sources, examining where and why differences may still remain.

In addition to producing improved aggregate figures, these microdata can be used to much more easily analyse employee dynamics in the UK – in a way consistent with the newly produced aggregates. We plan to produce broad analyses of the UK labour market using both RTI and traditional ONS data sources, comparing the two. In addition, we plan to showcase where RTI data can be used to go beyond ONS sources.

Section A
Project Details

A1 Legal gateways

Please provide the assessment of the legal gateways of the project as provided by Legal Services

None required. ONS survey data will be accessed via ONS employees, while RTI data will be access by those working for HMRC. Only aggregated RTI data – disclosure checked and quality assured – will be transferred from HMRC to ONS.

A2 Ethical approval

Has the project being reviewed or is it expected to be reviewed by another ethics committee? ○ **Yes** ○ **No**

NO

If Yes please provide the name of the committee, the outcome and the date approved

A3 Proposed site of research select all that apply

☑ ONS

☐ SRS (formerly VML)

☐ HMRC Data Lab

☑ Other

Analysis of RTI data will take place internally in HMRC (undertaken by ONS employees on loan to HMRC)

☐ ADRC - England

☐ ADRC - Scotland

☐ ADRC - Northern Ireland

☐ ADRC - Wales

A4 Data subjects to be studied

Does the study include all subsections of the population (i.e. all ages, sex, ethnic groups etc?) ● **Yes** ○ **No**

<u>YES</u>

If no please detail which subsections with justification(s) below:

Subsections of the population (including vulnerable groups) the project focuses on:

Justification for focusing on these subsections or groups:

A5 Please provide details of the research protocol or methodology (e.g. data linkage, web scraping etc) (max 500 words)

RTI data are acquired through HMRC's internal RTI stats production system.

The pre-processing is designed to perform two broad tasks:

1. Assign the data a period during which work was undertaken; and
2. To convert wage rates into a common unit (e.g. £ per week).

For the first task, it is first assumed that – within reasonable bounds – for a particular payment, the work done to earn that payment was undertaken between said payment and the previous payment for the job in question. In other words, that payment is made in arrears and on the final day of a work period. This is then elaborated upon to account for:

- Periods of missed work. This is accounted for by 'reasonable bounds' being placed on how long the work period can be. For example, if someone is paid monthly then a 'reasonable bound' of between 25 and 35 days is placed on the work period for a payment. If it was over 35 days since the previous payment, then the work period will be set to a default – 30 days in this example – leading up to the final day of the period (which is the payment date)
- Start and leaving dates. Where these are present, they are used to delimit the start and end date of the work period to which they correspond
- Double pay for a double work period. We identify periods in which there is an unusual and temporary increase in days of around 100%, where this corresponds with an increase in the time between payments of around 100%. When this happens, the payment in question is deemed to be a double payment, corresponding to work undertaken over a work period twice as long as is standard for the job in question. To effect this in the data, the payment is split in half – the first half of pay covering the first half of the double work period, and the second half of pay covering the second half of the work period. This means employment is treated as continuous over the period, instead of interpreting this as a period of missed work.
- Relaxation of payment-in-arrears assumption. We use the relationship between usual pay, final pay, usual work-period length, and final work-period length to calculate the extent to which a job's payment is made in arrears and the extent to which it is made in advance. We then adjust all work periods for said job accordingly.

While these are not a comprehensive list of all quality improvements that could be made, they tackle some of the most prominent areas for improvement as well as showcase exactly how different features of the data can be used to improve others, in contrast to simple imputation etc.

For the second task, we assert a common time unit conversion of weeks to months to convert all wage rates into £ per week.

A6

Data use

Please specify the data used **by the research team** including any timeframes *e.g. LFS data 2014-15*

Type of data	**Data Level** *Please specify the name of the data set* **Aggregate Data**	**Identifiable Data**	**De-identified personal data**	**Anonymised/ pseudo anonymised**
Administrative data *(please specify, e.g. Patient Register 2011, School Census 2012 etc, in the relevant options adjacent)*		RTI PAYE 2013 - 2019		
Big Data *(please specify e.g. Twitter data, smart meters and mobile phones, in the relevant options adjacent)*				
Survey Data *(please specify e.g.LFS, BRES, etc in the relevant options adjacent)*		LFS 1994-2019, ASHE 1997-2018, STES 2016 Q2 – 2018 Q4		
Census Data *(please specify year, e.g. Census 2011 in the relevant options adjacent)*				
Other *(please specify e.g. Ordinance Survey Address register in the relevant options adjacent)*				

Section B
Assessment against NSDEC ethical principles

B1 Principle 1: The use of data has clear benefits for users and serves the public good.

Please outline the proposed benefits of the project (max 500 words)

By better understanding how the new pre-processed RTI data relate to traditional ONS data sources – how closely we can replicate the methodologies and the effect this has on the data, as well as how the aggregates of each source differ and why - we can move further toward eventually replacing or augmenting ONS sources with RTI. This would have several benefits:

- Improved statistics. RTI as a source has better coverage than any survey, which could potentially increase the accuracy of the labour market and household income statistics ONS produces, such as Average Weekly Earnings and Workforce Jobs. By putting more accurate data in the hands of government, businesses, and the public, improved decisions can be made resulting in a better allocation of resources and improved public welfare as a result
- More statistics. RTI's increased coverage presents the opportunity to produce more disaggregated data than was ever possible before, while maintaining quality. Such detailed statistics would better facilitate decision making on a local basis, specific to the location, industry, or other characteristic in question.
- Decreased burden. To the extent that RTI could be used to replace traditional surveys, this would lower the cost to businesses of providing data that feeds into statistics.

In addition to helping ONS understand how the new pre-processing methodology related to our own work, this article will also help users understand the pre-processing methodology, and so offer increased transparency for the way in which HMRC produce RTI statistics.

B2 Please outline any intended future use for products (such as linked data sets or tools) produced as a result of the research and how they will be accessed. (max 250 words)

The pre-processing methodology will be used internally in HMRC to produce statistics for their RTI bulletin.

B3 **Principle 2:** The data subject’s identity (whether person or organisation) is protected, information is kept confidential and secure, and the issue of consent is considered appropriately.

Please outline how data security, confidentiality and informed consent is safeguarded in this project(max 500 words)

The pre-processed data produced are stored in the same internal HMRC data system as the source data are. No additional data are collected or added to the data as part of the pre-processing.

RTI data will be analysed separately from ONS data sources – microdata for the latter will only be accessed from within ONS by ONS employees. Similarly, RTI microdata will only be accessed from within HMRC, by those employed (or on loan to) HMRC. The two will not be merged or in any way compared at an individual/person level. Instead, the two data will be summarised (looking at distributions of wages, for example) and then the two summaries will be compared, to demonstrate the level of similarly and the role that RTI can play in developing our labour statistics. These comparisons, and the data underlying them (following disclosure checking and quality assurance) will be published as a joint article by HMRC and ONS on the ONS website.

B4 **Principle 3:** The risks and limits of new technologies are considered and there is sufficient human oversight so that methods employed are consistent with recognised standards of integrity and quality.

Please describe how the any risks from new technologies are been mitigated as well as any quality assurance activities in the project (max 500 words)

When analysing RTI data, current HMRC infrastructure for data storage and analysis will be used and no new technologies will be employed.

Within ONS no new technologies will be employed to analyse the survey data. All analysis is planned to be fairly descriptive so that it is simple to monitor the quality and integrity of summaries being produced. Suppliers for the relevant datasets will be consulted throughout the analysis to ensure their data is being accurately represented.

B5 Principle 4: Data used and methods employed are consistent with legal requirements such as the Data Protection Act, the Human Rights Act, the Statistics and Registration Service Act and the common law duty of confidence

Please describe the legal frameworks pertinent to this project (max 500 words)

There is no interference with the right to family life and privacy (HRA Article 8) of participants. Participants and their relatives will not be re-identified or contacted through this research. Any published data will be anonymised and subjected to strict Statistical Disclosure Controls so there is only minimal risk of causing any harm or distress by a breach of confidentiality. The small risks are proportionate to the public interest in terms of increasing understanding of earnings and employment dynamics, as well as the potential for RTI to augment National Statistics construction.

Use of data for statistical purposes in consistent with both the Statistics and Registration Service Act 2007 and the Commissioner for Revenue and Customs Act 2005.

This project does not represent a high risk to the rights and freedoms of individuals so a full data protection impact assessment is not required through employment in ONS.

B6 Collaboration and Sponsors

Please describe the project sponsors and the **legal gateways** to acquire, process use and share their data

List of Collaborators/Sponsors	**Details and relevant documentation relating to collaboration (you may attach copies of relevant documentation)**
Office for National Statistics	NA

B7 Principle 5: The views of the public are considered in light of the data used and the perceived benefits of the research

Please list any public engagement activities (max 250 words)

This project is a direct result of recommendations made in the Bean Review, which called for increased use and understanding of administrative sources in the creation and analysis of statistics. This review undertook and incorporated responses from public engagement in coming to its recommendations.

B8 Principle 6: The access, use and sharing of data is transparent, and is communicated clearly and accessibly to the public

How will the findings of the research be disseminated? (max 500 words)

The findings of our research will be published on the ONS website as an article. The summary data we produce for our analysis will be available as such.

The pre-processed RTI data will sit with HMRC and be accessible through their established mechanisms (e.g. the datalab).

Section C
Responsible owner and applicant details

C1 Responsible Owner

Full Name:	**Position:** Philip Wales
Address:	**Email:**
	Telephone:
	Organisation: Office for National Statistics

Declaration to be signed by the responsible owner

I have met with and advised the applicant on the ethical aspects of this project design (applicable only if the responsible owner is not the Applicant).

I understand that it is a requirement for all researchers accessing the data to have undergone relevant training and to have either relevant security clearances or approved researcher status in order to access the data.

I am satisfied that the research complies with current professional, departmental and other relevant guidelines.

I will ensure that changes in approved research protocols are reported promptly and are not initiated without approval by the National Statistician's Data Ethics Advisory Committee.

I will provide notification when the study is complete if it or fails to start or is abandoned.

I will ensure that all adverse or unforeseen problems arising from the research are reported in a timely fashion to the National Statistician's Data Ethics Advisory Committee.

I will consider all advice received from the National Statistician's Data Ethics Advisory Committee and should I be unable to implement any of the recommendations made, I will provide reasoning in writing to the Committee.

Signature: .... **Date:** ....

C2 Applicant Details (if applicant is not the responsible owner)

Full Name:	**Position:**
Address:	**Email:**
	Telephone:
	Organisation:

NSDEC(19)12

National Statistician’s Data Ethics Advisory Committee

Application for Ethical Review

Please consult the guidance document before filling in the application form

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Project Title

Please provide a title indicative of the project

Focus groups with children to explore what matters to their well-being

Start Date:	July 2019	**End Date:**	December 2019

Project Sponsor(s)

Please list the project sponsor(s)

Dawn Snape, Office for National Statistics and Richard Crellin, The Children’s Society

Project Summary

Please provide a brief high level summary of the research giving necessary background (max 250 words)

ONS currently monitors children’s well-being using a framework of 31 indicators across 7 areas of life. The framework is adapted from the main ONS National Well-being measurement framework. The substantive domains for both frameworks were developed based on a National Debate conducted in 2010, involving consultation with experts, the public and children.

Almost 10 years later, much has changed in society generally and in children’s lives. It’s timely to re-visit the children’s well-being indicators, ensuring they capture what matters most to children today.

The proposed research involves 12 focus groups with children aged 10-15, including each UK country. Discussions will capture perspectives of what matters to their well-being. The work will be undertaken in partnership with The Children’s Society.

The findings will be used to revise the ONS children's well-being indicators, underpin an annual State of the Nation Report on children's well-being produced by the Department of Education, and contribute to events associated with the 30th anniversary of the UN Convention on the Rights of the Child.

The revised children's well-being indicators will also be used to inform further cross-government projects surrounding children's well-being. These are currently being discussed with the Social Well-being Analysis team at ONS.

The Children's Society will also use the findings for England and Wales to revise their Good Childhood Index, ensuring it also reflects children's current perspectives.

We aim to start the fieldwork in summer 2019 to ensure we can contribute effectively to events surrounding the anniversary of the Convention on the Rights of the Child in the autumn.

Section A
Project Details

A1 Legal gateways

Please provide the assessment of the legal gateways of the project as provided by Legal Services

Since this project does not require the acquisition of a new data set protected by law, no legal gateways are required. ONS is able to collect new data through voluntary surveys and research using well established powers in the Statistics and Registration Services Act 2007.

A2 Ethical approval

Has the project being reviewed or is it expected to be reviewed by another ethics committee?

○ **Yes** ○ **No**

If Yes please provide the name of the committee, the outcome and the date approved

Although The Children's Society do not have a formal ethics panel, the topic guide will be reviewed by senior researchers at The Children's Society as part of their internal research review process. The Children's Society will otherwise defer to the views of the National Statistician's Data Ethics Advisory Committee.

A3 Proposed site of research select all that apply

☐ ONS

☐ SRS (formerly VML)

☐ HMRC Data Lab

☑ Other

Joint project between ONS and The Children's Society involving focus groups with 10 – 15-year olds in England, Wales, Scotland and Northern Ireland.

☐ ADRC - England

☐ ADRC - Scotland

☐ ADRC - Northern Ireland

☐ ADRC - Wales

A4 Data subjects to be studied

Does the study include all subsections of the population (i.e. all ages, gender, ethnic groups etc?) ○ **Yes** ● **No**

If no please detail which subsections with justification(s) below:

Subsections of the population (including vulnerable groups) the project focuses on:

The project involves focus group discussions with children aged 10 – 15. The goal is to include children from diverse backgrounds and social circumstances.

Justification for focusing on these subsections or groups:

As the research aims to ensure that the children's well-being indicators reflect children's current views, we are focusing on those aged 10-15. Below the age of 10, children may not be able to engage effectively in focus groups and above the age of 15, young people are routinely considered adults (and are included in national surveys on that basis).

A5 Please provide details of the research protocol or methodology (e.g. data linkage, web scraping etc) (max 500 words)

The project will be carried out in partnership with The Children's Society, with both organisations contributing to aspects of research design, data collection, analysis and reporting, as specified in an MoU.

The research will consist of 12 qualitative focus groups, conducted with already established youth panels of children in England, Scotland, Wales and Northern Ireland. We will work with a range of organisations to engage with their already established youth panels, comprised of children who have been selected to represent the views of children in their area or interest group.

Although these groups generally include children from diverse backgrounds, we aim to capture more diversity of children's views and experiences by engaging with 'key group' youth groups as well. These ensure those who may face particular (known) challenges to well-being will also be included. We propose to engage with 4 key groups including: children with disabilities; children who identify as LGBT; young carers; and children with experience of the care system. In each of these cases, we would focus on the 13-15 age group and work with organisations supporting the needs of children in these circumstances (i.e. only those aged 13-15 already in touch with support services would be involved).

	England	Scotland	Wales	Northern Ireland
Youth panel with children aged 10-12	1	1	1	1
Youth panel with children aged 13-15	1	1	1	1
Youth group of children with disabilities (aged 13-15)	1			
Youth group of LGBTI children (aged 13-15)	1			
Youth group of young carers (aged 13-15)	1			
Youth group of children in care (aged 13-15)	1			
Total	12 groups, of which: Aged 10-12 (4 groups) Aged 13-15 (8 groups) Key groups (4 groups)			

Organisations with appropriate youth panels will be identified by ONS and contacted by ONS or The Children's Society to ask whether they would like to be part of this research. Each organisation will be given full details of the purpose of the research, information about data collection, how we will use the data collected, how long it will be retained and how we will maintain children's anonymity in our reporting. We will ask the 'host' organisation to distribute an information sheet and consent form to the parents/ guardians of children on their panel with the same details.
Children with parental consent will also be read a child-friendly version of the information sheet at the beginning of the focus group sessions and given the opportunity to ask any questions. Children will then be given a consent form, detailing the study and uses of their data in plain English and asking for their assent to be included in the focus group and for their words to be quoted in anonymised form in our reporting.

Staff from ONS and The Children's Society with extensive experience of conducting research with children will facilitate the focus groups. All facilitators will be fully briefed in the ***ONS Safeguarding Policy* and Guidance** and use this to inform decisions about what to do if they become aware of situations where the safety of a respondent or of others is at risk. This also makes clear the support available to ONS staff if they need confidential help themselves.

Focus group facilitators will follow a topic guide which will be reviewed and amended based on comments from both The Children's Society and the National Statistician's Data Ethics Advisory Committee. The same topic guide will be used for all the focus groups, using open-ended themes to encourage children to express their views about what matters most to their well-being. At the start of each group, children will be reminded that their participation is entirely voluntary, they do not have to answer any questions with which they're not comfortable and they can stop at any time.

The groups will be recorded with the permission of respondents and digital recordings will be transferred to ONS via MoveIt, a password protected service for secure data transfer. The same approach will be used by ONS in sending and receiving data for transcription. ONS regularly use a vetted, security-cleared transcription service.

As per good qualitative research group practice, facilitators will write summary notes after each focus group which will note the dynamics and feelings raised as part of the group.

The 'host' organisation will be asked to share the gender distribution of the participants in the group. Children will be told that their age group and gender will be captured, as part of the information provided prior to consent.

Researchers will analyse the data thematically using for example the 'Framework' approach developed by the National Centre for Social Research (NatCen). The findings will be presented and disseminated in a synthesised way, with anonymised quotes from children.

Quotes from children, only attributed to their age group (10-12 or 13-15) and key interest group where appropriate, will also be used in the reports to give context to their perspectives. Our policy on the use of quotes will be made clear to children and their parents/ guardians in the consent letters.

Intended uses of the data are summarised in section B2.

A6

Data use

Please specify the data used **by the research team** including any timeframes *e.g. LFS data 2014-15*

	Data Level *Please specify the name of the data set*			
Type of data	**Aggregate Data**	**Identifiable Data**	**De-identified personal data**	**Anonymised/ pseudo anonymised**
Administrative data *(please specify, e.g. Patient Register 2011, School Census 2012 etc, in the relevant options adjacent)*				
Big Data *(please specify e.g. Twitter data, smart meters and mobile phones, in the relevant options adjacent)*				
Survey Data *(please specify e.g.LFS, BRES, etc in the relevant options adjacent)*				
Census Data *(please specify year, e.g. Census 2011 in the relevant options adjacent)*				
Other *(please specify e.g. Ordinance Survey Address register in the relevant options adjacent)*				Qualitative data from focus groups collected by ONS and The Children's Society (July-January 2020).

Section B
Assessment against NSDEC ethical principles

B1 Principle 1: The use of data has clear benefits for users and serves the public good.

Please outline the proposed benefits of the project (max 500 words)

ONS has monitored children's well-being over the last 5 years using a measurement framework based on public consultation and discussions held with children in 2010. This formed part of a large scale 'National Debate' involving a series of events and a range of consultation methods conducted by ONS at the inception of the Measuring National Well-being Programme.

We are now reviewing the relevance of all our well-being measurement frameworks (i.e. national well-being, children's well-being, young people's well-being and measures of social capital) to ensure they still reflect the things that people in the UK think matter most to their well-being.

ONS increasingly receive questions from users about children's mental health, loneliness and their engagement with online activities. We want to be sure that these issues are appropriately reflected in our framework in ways which capture not only what adults think are important, but what children themselves think matters.

For example, in the development of the current framework, an assumption was made that environmental factors affect everyone in the same way and were excluded from the children's framework because they are captured in the national well-being framework. However, the youth climate strikes suggest that children have distinct views about how the environment may contribute to their well-being. Additionally, given increasing evidence that air pollution can have a particularly detrimental effect on children's lung development, it's a timely moment to explore whether environmental issues merit a place in the children's well-being measurement framework. We'd like to explore this with children themselves, as well as with others representing their interests (via separate consultation).

As well as the general importance of ensuring that the children's well-being measurement framework captures key issues of importance to them, this project will also serve the public good by supporting work being undertaken by the Department for Education (DfE). In 2018, DfE were asked to publish an annual State of the Nation report on Young People's Mental Well-being, with the first report due in October 2019. This annual report will highlight the trends and issues in young people's mental well-being. The government also plan to provide tools to help schools measure their students' health, including their mental well-being as part of the commitment to make education in mental health and resilience a compulsory part of the curriculum. DfE plan to use the ONS children's well-being indicators as key data source to inform this work, with the children's well-being indicators providing the statistical basis for the annual State of the Nation Report.

This year is also the 30th Anniversary on the UN Convention on the Rights of the Child with events planned to include a Heads of State meeting in September and a children's global virtual summit in November. If the project proceeds in a timely way (starting in Summer 2019), we will contribute to these events by publishing new analysis of the priorities of UK children. The findings will also inform the development of an information pack for schools on measurement of pupil well-being, and as evidence of UK progress on our commitments associated with the Convention on the Rights of the Child (both are DfE commitments with which ONS has been requested to help).

This research will also feed into the revision of The Children's Society's Good Childhood Index. The Children's Society use the evidence that is collected in making and influencing decisions about national and regional policy and in how resources available are used in direct practice with children. The findings from their annual report are also extremely useful for focusing attention on particular actions that could be taken to make the lives of children across the country better. With the results, they identify recommendations for policy and practice and work within their own services and with others to fight for positive changes to children's lives.

The revised children's well-being indicators will also be used to inform further cross-government projects surrounding children's well-being. These are currently being discussed with the Social Well-being Analysis team at ONS.

Working collaboratively The Children's Society, DfE and other key stakeholders promotes our strategic role of being helpful, ensures knowledge exchange among those supporting children's well-being and avoids duplication across government and civil society.

B2 **Please outline any intended future use for products (such as linked data sets or tools) produced as a result of the research and how they will be accessed.** (max 250 words)

It is intended that data collected by this project will be used to:

1) Refine and revise the ONS children's well-being measurement framework;
2) Inform future development of The Children's Society's Good Childhood Index;
3) Contribute to DfE's annual report on children's well-being;
4) Contribute to briefing for the Heads of State meeting in September on the UN Convention on the Rights of the Child;
5) Inform UK progress on children's well-being for regular monitoring by DfE of UK compliance with the Convention on the Rights of the Child;
6) Inform the development of guidance for schools on measurement of pupil well-being;
7) Form the basis of a substantive report published by ONS on children's views of what matters most to their well-being, and associated products promoting the findings such as social media (via the ONS and The Children's Society Facebook and Twitter accounts, blogs via National Statistical and The Children's Society)
8) We also aim to produce some form of interactive tool for the ONS website (or other online platforms of children's charities) that could be used to promote the findings of the research in age-appropriate and user-friendly ways to children themselves. This could also contribute to the global children's virtual summit on the Convention of the Rights of the Child scheduled for November.

The revised children's well-being indicators will also be used to inform further cross-government projects surrounding children's well-being. These are currently being discussed with the Social Well-being Analysis team at ONS.

Any additional research uses of these data will be subject to further ethical approval.

B3

Principle 2: The data subject's identity (whether person or organisation) is protected, information is kept confidential and secure, and the issue of consent is considered appropriately.

Please outline how data security, confidentiality and informed consent is safeguarded in this project(max 500 words)

We will seek consent from both parents/guardians as well as assent the from the children participating in the research. Children will be told in advance and be reminded in the focus groups that they do not have to answer any questions with which they are uncomfortable and can stop participating in the group at any time. We will explain clearly in a privacy notice and consent form and throughout our interaction with children, parents/ guardians and host organisations:

i. the purpose of our study and its expected outcomes
ii. how we intend to protect the data in our research facilities
iii. how long we will retain their data
iv. potential use of their data for further research within the same scope

An ONS staff member will be present during all fieldwork and will be responsible for recording and transferring the data back to ONS using the MoveIt tool. This offers a secure service, approved by ONS Information Assurance to transfer data of the specific level of sensitivity inside and outside ONS. Once safely received by ONS, all digital recordings will be deleted from our password protected recorders.

ONS will organise transcription of the focus group data for further analysis. The transcription service has been used by ONS Methodology Team for 21 years and is security cleared.
When the transcription is received each child within each group will be given an identifier for example child 1. The transcripts will be delivered knowing which focus group it refers to, for example, children with disabilities aged 13 - 15.

The consent forms, being held solely by ONS, baring participating children's names will be stored securely and separately to the transcripts, recordings and data capture sheets. The consent forms will not bear the name of the 'host' organisation and therefore will not be able to be linked back to the focus group transcripts or recordings.
Within ONS, these data will be stored in a secure area of the Sustainability and Inequalities Division research environment, only accessible to a restricted number of staff working on the project. All those with access to the data will be trained research staff with appropriate security clearance and extensive experience working with similarly sensitive datasets.

Transcripts with any identifying information removed (for example names and places), focus group recordings and ranking collection sheets of the focus groups in England and Wales will be sent to The Children's Society for their own analysis using the MoveIt tool. The Children's Society will store the data securely in a similar way to that outlined for ONS, allowing access only to key members of the research team.

Any outputs of the research will be presented in an aggregate format, ensuring that no information that can be used to re-identify individuals is shared. Quotes from children, only attributed to their age group (10-12 or 13-15) and key interest group where appropriate, will also be used in the reports to give context to their perspectives. Our policy on the use of quotes will be made clear to children and their parents/ guardians in the consent letters.

ONS will ensure that all outputs follow GSS disclosure rules and will ensure that The Children's Society are also familiar with this. The Children's Society also have extensive experience collecting, storing, analysing and publishing data of this kind.

B4 Principle 3: The risks and limits of new technologies are considered and there is sufficient human oversight so that methods employed are consistent with recognised standards of integrity and quality.

Please describe how the any risks from new technologies are been mitigated as well as any quality assurance activities in the project (max 500 words)

No new technologies are involved in the proposed project.

B5 Principle 4: Data used and methods employed are consistent with legal requirements such as the Data Protection Act, the Human Rights Act, the Statistics and Registration Service Act and the common law duty of confidence

Please describe the legal frameworks pertinent to this project (max 500 words)

The legal basis of the data collection and processing (for GDPR purposes) for ONS will be 'functions of a government department'. For The Children's Society, consent obtained from children (the data subjects) and their parents/ guardians will be the legal basis of data collection and processing.

There is no interference with the right to family life and privacy (HRA Article 8) of participants. Participants and their relatives will not be re-identified or contacted through this research. Any published data will be in anonymized format with only the age group and key interest group information of respondents attributed in quotes and subjected to strict Statistical Disclosure Controls so there is minimal risk of causing any harm or distress by a breach of confidentiality. The small risks are proportionate to the public interest in terms of enabling children's interests to be explicitly considered in the measurement of their well-being, counteracting significant social harms (by regular monitoring of issues such as children's mental well-being) and encouraging greater social benefits.

B6 Collaboration and Sponsors

Please describe the project sponsors and the **legal gateways** to acquire, process use and share their data

List of Collaborators/Sponsors	Details and relevant documentation relating to collaboration (you may attach copies of relevant documentation)
The Children's Society (TCS)	We are working with TCS on this project who have many years' experience of collecting, storing, analysing and publishing data of this kind. They will be a joint data controller with ONS. The legal basis for their collection and processing of the data for GDPR purposes is consent from parents/ guardians and children (data subjects). TCS will collect data from the focus groups in England and Wales, and as a joint data controller, will be sent transcribed, anonymised data from these groups. They will use this to produce their own analysis as part of their review of The Good Childhood Index. The topic guide will be reviewed by senior researchers at TCS as part of their internal research review process; they will otherwise defer to the National Statistician's Ethics Panel. An MOU will be in place outlining the roles and responsibilities of each organisation.
Office for National Statistics	ONS will act as joint data controller and will conduct the focus groups in Scotland and Northern Ireland and assist with the groups in England and Wales. ONS staff will be responsible for transferring data from the discussions back to ONS, from ONS to the transcriptionist and in anonymised form, to The Children's Society. The legal basis for ONS to collect and process the data for GDPR purposes, is that it is a government department. No further legal gateway is required to acquire the data as the project is based on primary data collection.
Department for Education (England)	DfE intend to use the revised children's well-being indicators as part of an annual state of the nation report on children and young people's mental well-being. They will also use the findings of the research to inform their report on the UK's compliance

	with the UN Convention on the Rights of the Child.

B7 Principle 5: The views of the public are considered in light of the data used and the perceived benefits of the research

Please list any public engagement activities (max 250 words)

As part of the scoping phase of this work we have consulted with stakeholders from children's charities including UNICEF UK and our partner, The Children's Society. We have met individually with a range of users of the existing children's well-being indicators from the public, civil society and academia. We have also discussed the value of the project with those on the Advisory Group with oversight for monitoring the UK's compliance with the UN Convention on the Rights of the Child and with those at the Department for Education responsible for the State of the Nation report on children and young people's well-being.

As part of the release on children's well-being published by ONS in March 2018, we also gathered stakeholder views via a survey monkey questionnaire. This work revealed that users draw on the children's well-being outputs for a variety of different uses, for example, benchmarking, monitoring, policy development and research.

The team has also undertaken a data audit and initial literature review of other qualitative data in this area to ensure we are building on existing evidence and avoiding duplication. Additionally, we have met with academics from the University of Waterloo in Canada and UNICEF Canada about similar work being undertaken there to inform this work with international best practice.

Most importantly, the key aim of the project is of course to consult with children themselves.

B8 Principle 6: The access, use and sharing of data is transparent, and is communicated clearly and accessibly to the public

How will the findings of the research be disseminated? (max 500 words)

Within ONS and The Children's Society, the data will be held securely, and will only be shared with researchers who require access to it for the purposes summarised below. This may include ONS colleagues from the methodology division and data science campus who are experts in thematic analysis. Both organisations plan to publish aggregated results in a thematic way to maintain anonymity of participants. Quotes from children will be used in reporting but details will be changed if necessary to avoid identification of individuals and only the age group of the child will be provided for context.

All the proposed uses of the data and the relationship between ONS and The Children's Society as joint data controllers will be set out in plain English in a joint privacy notice given to the host organisations, parents/ guardians and children (i.e. the data subjects).

ONS and The Children's Society intend to retain the data for a period of up to five years, or until the next revision of the children's well-being indicator set and The Good Childhood Index, whichever comes first. After this point, the data held by each organisation will be deleted. This will also be made clear in the privacy notice.
ONS and The Children's Society intend to publish the findings in the following ways:

- ONS will publish an article with substantive findings
- Blogs and other social media (e.g. Twitter and Facebook) to ensure we are sharing the work with a wide an audience as possible.
- This research will inform the updates of the ONS children's well-being indicators update.
- The Children's Society will use the data for England and Wales to inform their revision of The Good Childhood Index and for a substantive report on this work.

As noted in section B2, the data will also be used to:

- Contribute to briefing for the Heads of State meeting in September on the UN Convention on the Rights of the Child;
- Inform UK progress on children's well-being for regular monitoring by DfE of UK compliance with the Convention on the Rights of the Child;
- Inform the development of guidance for schools on measurement of pupil well-being;
- We also aim to produce some form of interactive tool for the ONS website (or other online platforms of children's charities) that could be used to promote the findings of the research in age-appropriate and user-friendly ways to children themselves. This could also contribute to the global children's virtual summit on the Convention of the Rights of the Child scheduled for November.

Section C
Responsible owner and applicant details

C1 Responsible Owner

Full Name: Glenn Everett	**Position:** Divisional Deputy Director, Sustainability and Inequalities
	Email:
	Telephone:
	Organisation: **ONS**

Declaration to be signed by the responsible owner

I have met with and advised the applicant on the ethical aspects of this project design (applicable only if the responsible owner is not the Applicant).

I understand that it is a requirement for all researchers accessing the data to have undergone relevant training and to have either relevant security clearances or approved researcher status in order to access the data.

I am satisfied that the research complies with current professional, departmental and other relevant guidelines.

I will ensure that changes in approved research protocols are reported promptly and are not initiated without approval by the National Statistician's Data Ethics Advisory Committee.

I will provide notification when the study is complete if it or fails to start or is abandoned.

I will ensure that all adverse or unforeseen problems arising from the research are reported in a timely fashion to the National Statistician's Data Ethics Advisory Committee.

I will consider all advice received from the National Statistician's Data Ethics Advisory Committee and should I be unable to implement any of the recommendations made, I will provide reasoning in writing to the Committee.

Signature: .... **Date:** 25/06/2019

C2 Applicant Details (if applicant is not the responsible owner)

Full Name: Eleanor Rees	**Position:** Head of Social Well-being Analysis Branch
Address:	**Email:**
	Telephone:
	Organisation: ONS

NSDEC(19)07

National Statistician's Data Ethics Advisory Committee

Application for Ethical Review

Please consult the guidance document before filling in the application form

Project Title

Please provide a title indicative of the project

Environmental and Socio-Economic Impact Assessment for Siting of Geological Disposal Facilities

Start Date:	08/05/2019	**End Date:**	30/06/2024

Project Sponsor(s)

Please list the project sponsor(s)

Radioactive Waste Management (owned by The Nuclear Decommissioning Authority)

Project Summary

Please provide a brief high level summary of the research giving necessary background (max 250 words)

The long-term management of higher level radioactive waste through geological disposal is a key component of established Government policy and its energy strategy[1]. Geological Disposal Facilities (GDFs) will be sited based on environmental suitability and the willingness of local communities to participate.

Radioactive Waste Management (RWM), the public organisation established by government to plan and deliver geological disposal in the UK, is working with the communities that have expressed an interest in hosting a GDF to establish Community Partnerships (CPs) to facilitate discussion with the community and liaise on their behalf

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[1] https://www.gov.uk/government/publications/implementing-geological-disposal-working-with-communities-long-term-management-of-higher-activity-radioactive-waste

with RWM.

Local investment will accompany a GDF siting, and CPs will be responsible for identifying priorities for this funding This project is seeking access to deidentified data to provide communities that have expressed an interest in hosting GDFs with better insight on how the local investment might be used to improve quality of life for local residents.

The siting process for a GDF is consent-based and community led. The CP will make recommendations to the relevant principal local authorities on the CP about whether to continue with the process or to withdraw from it. For those that continue a 'Test of Public Support' will be held to demonstrate whether the local community are willing to host the facility. Any options without local support will be ruled out. RWM will then review the remaining sites that have been agreed by the local community and make a recommendation to the Minister.

Jacobs have been commissioned by RWM to provide a baseline analysis of the of areas which have volunteered for GDF siting, based primarily on environmental suitability but also on a range of socio-economic indicators. Simetrica have been subcontracted by Jacobs to develop a workstream on 'socio-economic and health/wellbeing' indicators which will sit alongside the environmental workstream. This request is for data to be used in the 'socio-economic and health/wellbeing' workstream only.

This project plans to analyse the deidentified data in the Secure Research Service to help CPs to develop their recommendations and provide local communities with information about the implications of hosting a GDF. The research will only be conducted for communities that have established CPs and so cannot be used to influence communities or Local Authorities to express an interest in hosting a GDF.

Section A
Project Details

A1 Legal gateways

Please provide the assessment of the legal gateways of the project as provided by Legal Services

The ONS Approved Researcher scheme is the legal gateway being used to access the ONS-owned data. This complies with the Statistics and Registration Service Act 2007.

The ONS Microdata Release Panel (MRP) have approved the proposal, as there is a legal gateway to access the data, it is deemed appropriate use of ONS data and a public benefit has been demonstrated.

A2 Ethical approval

Has the project been reviewed or is it expected to be reviewed by another ethics committee? ○ **Yes** ● **No**

If Yes please provide the name of the committee, the outcome and the date approved

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A3 Proposed site of research select all that apply

☑ ONS

☑ SRS (formerly VML)

☐ HMRC Data Lab

☐ Other

please specify

☐ ADRC - England

☐ ADRC - Scotland

☐ ADRC - Northern Ireland

☐ ADRC - Wales

A4 Data subjects to be studied

Does the study include all subsections of the population?
(i.e. all ages, sex, ethnic groups etc) ● **Yes** ○ **No**

If no please detail which subsections with justification(s) below:

Subsections of the population (including vulnerable groups) the project focuses on:

N/A

Justification for focusing on these subsections or groups:

N/A

A5 Please provide details of the research protocol or methodology (e.g. data linkage, web scraping etc) (max 500 words)

The proposed methodology for the socio-economic and health/wellbeing work stream is to first provide an initial baseline statistical profile, on a local authority level, which will provide means for indicators and compare these to national and regional averages. Additionally, regression analysis will enable us to explore which local characteristics are most associated with QoL (proxied by life satisfaction). Researchers will also compare smaller areas within local authorities to understand the distribution of those indicators inside candidate areas. The baseline analysis will produce benchmark statistics to be used as comparators when tracking outcomes over time.

Current publicly available data can cover many standard socio-economic indicators in England and Wales and Wales (e.g. unemployment, income, loneliness and sense of community). This data request will fill in the gaps using APS data (which contains life satisfaction data to LSOA level across the UK – likely to be the dependent variable in QoL regressions), Community Life data (which contains unique wellbeing/community indicators for England) and National Survey of Wales data (which will give us community indicators below local authority level).

Outputs of the analysis will be first on a local authority level (descriptive and regression), and subsequently some outputs will be produced on an MSOA or LSOA level (descriptive only) to understand differences within local authorities (depending on the geographic availability of the indicator and contingent on obtaining robust estimates).

In the absence of APS, Community Life and National Survey for Wales data the project will still go ahead but will rely on less specialised socio-economic indicators (e.g. from the Census) and will not contain many community/wellbeing indicators for England. This risks that local QoL will not be the focal point of the investment and GDF planning.

A6

Data use

Please specify the data used **by the research team** including any timeframes *e.g. LFS data 2014-15*

Type of data	**Aggregate Data**	**Identifiable Data**	**De-identified personal data**
Administrative data *(please specify, e.g. Patient Register 2011, School Census 2012 etc, in the relevant options adjacent)*			
Big Data *(please specify e.g. Twitter data, smart meters and mobile phones, in the relevant options adjacent)*			
Survey Data *(please specify e.g.LFS, BRES, etc in the relevant options adjacent)*			Annual Population Survey: Wellbeing, April 2011-March 2017 Annual Population Survey: Households, 2004-2016 Annual Population Survey: Person, 2004-2017 Annual population Survey 3 Year Pooled: 2013-2015 Community Life Survey, 2016-2017 National Survey for Wales, 2012-2018
Census Data *(please specify year, e.g. Census 2011 in the relevant options adjacent)*			
Other *(please specify e.g. Ordinance Survey Address register in the relevant options adjacent)*			

Section B
Assessment against NSDEC ethical principles

B1 Principle 1: The use of data has clear benefits for users and serves the public good.

Please outline the proposed benefits of the project (max 500 words)

As explained in the Project Summary, GDFs will be sited based on environmental suitability and the willingness of local communities to participate. This project, which supports the community-led process described above, is seeking access to deidentified data to provide communities that have expressed an interest in hosting GDFs with better insight on how the local investment might be used to improve quality of life for local residents.

The project will provide a statistical profile for each interested local authority area to determine how the project could provide the most social value. Analysis will only be conducted for communities that have expressed an interest in hosting a GDF and have formed a Community Partnership.

The analysis will be used by the Community Partnerships to understand the baseline situation in communities before a GDF siting and to jointly develop an investment plan which will improve QoL based on local needs. For example, if an area has particularly low levels of housing quality and this is shown to be strongly correlated with life satisfaction, the associated investment can be targeted more towards housing quality. The Community Partnerships will have a say on which indicators will be included by helping to filter an initial set of indicators before statistical work begins and in checking that the proposed set is comprehensive enough to meet its needs.

Once the GDF siting has begun, the indicators will be used by Community Partnerships to track changes in QoL over time and compare subsequent levels to the baseline analysis, which will allow councils to appraise their investment decisions. For example, we will be able to see if improvements in housing quality have been associated with improvements in life satisfaction and compare these levels to the baseline. Additionally, by monitoring these indicators over time, any negative impacts of a GDF will also be picked up and the annual investment strategy can be adjusted accordingly.

Therefore, the analysis will contribute to the public benefit by including QoL in the baselining profile of a community, focusing on QoL within the community investment strategy and appraising investment and siting decisions by tracking QoL indicators over time.

B2 Please outline any intended future use for products (such as linked data sets or tools) produced as a result of the research and how they will be accessed. (max 250 words)

There will be no future use of any of the linked datasets created inside the SRS. The only outputs will be non-disclosive aggregates.

B3 Principle 2: The data subject's identity (whether person or organisation) is protected, information is kept confidential and secure, and the issue of consent is considered appropriately.

Please outline how data security, confidentiality and informed consent is safeguarded in this project (max 500 words)

Access to, analysis and use of the data will only take place within the ONS Secure Research Service (SRS) environment. All outputs will be checked by the ONS Statistical Support team to ensure that they do not disclose confidential or personal identifiable data and to confirm that they are proportional and necessary to the project. This process ensures that disclosure control and the confidentiality of data subjects is protected. Outputs that identify small groups or individuals will not be allowed out of the SRS environment.

ONS will only release data relating to areas confirmed to be involved in a Community Partnership. The researchers are accredited as ONS Approved Researchers. ONS will have sight of the final report before it is published.

B4 Principle 3: The risks and limits of new technologies are considered and there is sufficient human oversight so that methods employed are consistent with recognised standards of integrity and quality.

Please describe how the any risks from new technologies are been mitigated as well as any quality assurance activities in the project (max 500 words)

No new technologies are being employed.

B5 Principle 4: Data used and methods employed are consistent with legal requirements such as the Data Protection Act, the Human Rights Act, the Statistics and Registration Service Act and the common law duty of confidence

Please describe the legal frameworks pertinent to this project (max 500 words)

Access to the potentially disclosive data will be in the Secure Research Service environment and via an approved legal gateway (Approved Researcher scheme). This complies with the Statistics and Registration Service Act 2007 and the methods used comply with the principles in the Data Protection Act 2018.

NSDEC have reviewed this application twice and sought clarification in a number of areas. These are set out below, together with an indication (in brackets) of where these points are addressed in this revised application:

- *make clear in the application that this research is not being done to influence Local Authorities to express an interest in hosting a geological disposal facility and that the analysis will only be conducted for those Local Authorities who have already expressed an interest*
  (see Project Summary and Section B3)

- *work with any Local Authorities who have expressed an interest in hosting a geological disposal facility to get their views on what socio-economic indicators they would like the research to include*
  (see Section B1)

- *commit to publishing more than just a summary of the research outcomes*
  (see Section B8)

- *make clear in the application that this research should only be used to help inform the Local Authorities and therefore the local communities in their decision-making process rather than being used to directly inform the siting of the geological disposal facility*
  (see Project Summary)

- *provide greater clarity about where this research fits in to the decision making process for the siting of a GDF, including more detail on the role of Community Partnerships*
  (see Project Summary)

B6 Collaboration and Sponsors

Please describe the project sponsors and the **legal gateways** to acquire, process use and share their data

List of Collaborators/Sponsors	**Details and relevant documentation relating to collaboration (you may attach copies of relevant documentation)**
Simetrica	Research organisation (subcontracted under Jacobs commercial services)
Radioactive Waste management	Sponsor

B7 Principle 5: The views of the public are considered in light of the data used and the perceived benefits of the research

Please list any public engagement activities (max 250 words)

Whilst the views of the public have not been sought with regards to the research, there is a clear public benefit for the analysis (as described in B1 above). A public consultation on the Approved Researcher scheme in 2015/16 recommended that commercial organisations should be allowed to access ONS research data where there is a clear public benefit.

The Geological Disposal Facility project has received extensive public oversight in the 15 years of its existence. There have been numerous public consultations[2], it has been debated in parliament and widely reported in the national media.

B8 Principle 6: The access, use and sharing of data is transparent, and is communicated clearly and accessibly to the public

How will the findings of the research be disseminated? (max 500 words)

ONS has a commitment to transparency and publishes a register of all Approved Researchers on their website. This includes their organisations, current projects, sponsors and the datasets being used.

Community Partnerships will set up websites which will publish details of work and results for their local areas. Results and analysis of the research will also be published on the Simetrica website. Estimated timescale for publication is between April 2020 and September 2020.

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[2] https://www.gov.uk/government/consultations/site-evaluation-how-we-will-evaluate-sites-in-england

Section C
Responsible owner and applicant details

C1 Responsible Owner

Full Name: Dora Radosevic

Position: Lead researcher

Address:

Email:

Telephone:

Organisation: Simetrica

Declaration to be signed by the responsible owner

I have advised the applicant on the ethical aspects of this project design (applicable only if the responsible owner is not the Applicant).

I understand that it is a requirement for all researchers accessing the data to have undergone relevant training and to have either relevant security clearances or approved researcher status in order to access the data.

I am satisfied that the research complies with current professional, departmental and other relevant guidelines.

I will ensure that changes in approved research protocols are reported promptly and are not initiated without approval by the National Statistician's Data Ethics Advisory Committee.

I will provide notification when the study is complete if it or fails to start or is abandoned.

I will ensure that all adverse or unforeseen problems arising from the research are reported in a timely fashion to the National Statistician's Data Ethics Advisory Committee.

I will consider all advice received from the National Statistician's Data Ethics Advisory Committee and should I be unable to implement any of the recommendations made, I will provide reasoning in writing to the Committee.

Signature: .... **Date:** ....

C2 Applicant Details (if applicant is not the responsible owner)

Full Name:	**Position:**
Address:	**Email:**
	Telephone:
	Organisation:

UK STATISTICS AUTHORITY

NATIONAL STATISTICIAN’S DATA ETHICS ADVISORY COMMITTEE

Adding gender identity questions to the Crime Survey

Presentation

Billy Gazard & Michelle Monkman

UK STATISTICS AUTHORITY

NATIONAL STATISTICIAN’S DATA ETHICS ADVISORY COMMITTEE

Online Crime Survey for England and Wales

Presentation

Meghan Elkin & Ian O’Sullivan

UK STATISTICS AUTHORITY

NATIONAL STATISTICIAN’S DATA ETHICS ADVISORY COMMITTEE

Prize draw incentives use in a web-first survey

Presentation

Lina Lloyd & Jen Farnall

Any other business