National Statistician’s Data Ethics Advisory Committee

Application for Ethical Review

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| **Please consult the** [**guidance document**](https://uksa.statisticsauthority.gov.uk/wp-content/uploads/2021/04/Application_form_guidance_v3.0.pdf) **before filling in the application form** |

## Project Title

*Please provide a title indicative of the project*

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| Start Date: |  | End Date: |  |

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| Project lead(s), sponsor(s) and collaborator(s) – people involved and what their role is in the research *Please list the project lead(s), sponsor(s) and collaborator(s)* |
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| **Has the project been reviewed or is it expected to be reviewed by another ethics committee?** |
| *If* so, *please provide the name of the committee, the review date, and the outcome below* |
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## Project Summary

*Please provide a brief high-level summary of the research, giving necessary background information including detail of where any data linkage and/or data analysis will be conducted*

(max. 300 words)

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## Areas of potential ethical risk (and mitigations)

*Please provide some detail on the aspects of the project that you would like the Committee to focus attention on. Note, the Committee may raise other ethical issues they identify.*

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| Identified Ethical Risk(s) |
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| Mitigation(s) |
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## Section A

## Project Details

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| A1 | Data subjects to be studied |

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| Does the research aims seek to focus on a subsection of the population?  (i.e. a protected characteristic, those considered to be disadvantaged etc.) A checklist is provided below. | | **Yes/No** |
| *If* ***Yes****, please detail which subsections with justification(s) below:* | | | |
| Subsections of the population (including vulnerable/disadvantaged groups) the project focuses on: | | | |
| Protected Characteristics[[1]](#footnote-2):  age  disability  gender reassignment  marriage and civil partnership  pregnancy and maternity  race  religion or belief  sex  sexual orientation | Those considered at risk of disadvantage[[2]](#footnote-3):  ​  Ethnic minorities    Migrants    People with disability    Isolated elderly people  Children  Other | |
| If other is selected, please state here: | | | |
| Justification for focusing on these subsections or groups: | | | |

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| A2 | Research methodology and protocol *Please provide details of the research protocol or methodology (e.g. data linkage, web scraping etc.)**You must provide sufficient information so that the National Statistician’s Data Ethics Advisory Committee can appreciate exactly what you intend to do and how this will result in you achieving your research aims.*  (max. 500 words)  *Where possible, please include a visual representation, that shows the input, process and output, as an annex to this application.* |
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| A3 | Data use Please specify the data used **by the research team** including any timeframes *e.g. LFS data 2014-15* |

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| **Type of Data** | **Data Level** | | |
| **Directly identifiable data** | **De-identified,** **identifiable and pseudonymised data** | **Aggregate or anonymised data** |
| **Administrative data**  *(please specify, e.g. Patient Register 2011, School Census 2012 etc, 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)* |  |  |  |

## Section B

## Assessment against NSDEC ethical principles

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| B1 | Public Good: The use of data has clear benefits for users and serves the public good. |
|  | *This has been disaggregated into four subsections.*  *Please refer to the CADE public good guidance,* [*here.*](https://uksa.statisticsauthority.gov.uk/publication/considering-public-good-in-research-and-statistics-ethics-guidance/pages/1/) |
| *Type of Impact - The overall way in which you are contributing to public value* | |
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| *Scale of Impact - The likely size of the public benefit that you expect to achieve* | |
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| *Population Coverage - Who will likely benefit?* | |
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| *Impact Strategy - What practical steps might you take to ensure that the research is seen, and that the public good of the research is realised?* | |
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| B2 | Confidentiality/Data Security: 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 and confidentiality is safeguarded in this project* (max. 300 words) |
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| *Please outline how the issue of consent has been considered appropriately, on both a legal and ethical basis.*  (max. 200 words) | |
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| B3 | Methods and Quality: The risks and limits of new methods and/or 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 methods and/or technologies are been mitigated as well as any quality assurance activities in the project.* (max. 500 words) |
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| B4 | Legal Compliance: Data used and methods employed are consistent with legal requirements such as Data Protection Legislation[[3]](#footnote-4), the Human Rights Act 1998, the Statistics and Registration Service Act 2007, the equality act 2010, and the common law duty of confidence |
|  | *Please provide assurance that this project will be legally compliant. Please describe the legal bases to processing data involved, any legal gateways required to acquire, process, access or share data involved, and legal frameworks pertinent to this project.* (max. 500 words) |
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| B5 | Public Views and Engagement: 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)  *Guidance from the Centre for Applied Data Ethics can be found,* [*here*](https://uksa.statisticsauthority.gov.uk/publication/considering-public-views-and-engagement-regarding-the-use-of-data-for-research-and-statistics/pages/1/)*.* |
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| B6 | Transparency: 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? Include any future use of data (data curation and re-use)*(max. 500 words) |
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## Section C

## Responsible owner and applicant details

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| C1 | Responsible Owner/ Lead Researcher |

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

# 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 accredited/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 or if it 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.

I am aware and accept that this research project may be subject to a review to understand how the National Statistician’s Data Ethics Advisory Committee’s advice has been acted on and integrated.

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| **Signature:** |  | **Date:** |  |
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1. Protected characteristics are outlined in the Equality Act 2010: <https://www.legislation.gov.uk/ukpga/2010/15/part/2/chapter/1> [↑](#footnote-ref-2)
2. These are groups of persons that experience a higher risk of poverty, social exclusion, discrimination and violence than the general population. Definition taken from the European Group for Gender Equality: <https://eige.europa.eu/thesaurus/terms/1083> [↑](#footnote-ref-3)
3. “Data Protection Legislation” means the full, applicable data protection framework as set out in the Data Protection Act 2018. This encompasses general processing (including the General Data Protection Regulation and the applied GDPR). [↑](#footnote-ref-4)