CeLSIUS
Centre for Longitudinal Study Information & User Support

SELF-ASSESSMENT FORM

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UCL

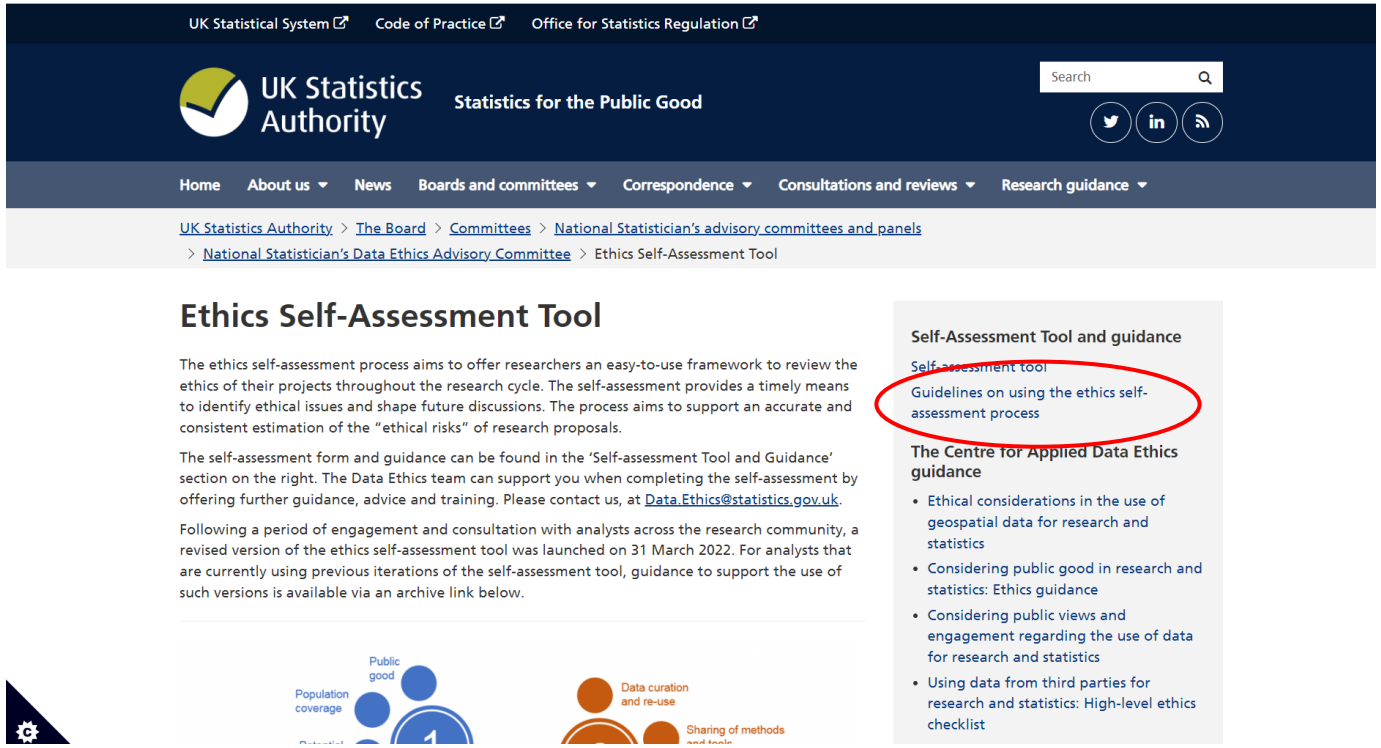
Office for National Statistics
Swyddfa Ystadegau Gwladol

UKRI Economic and Social Research Council

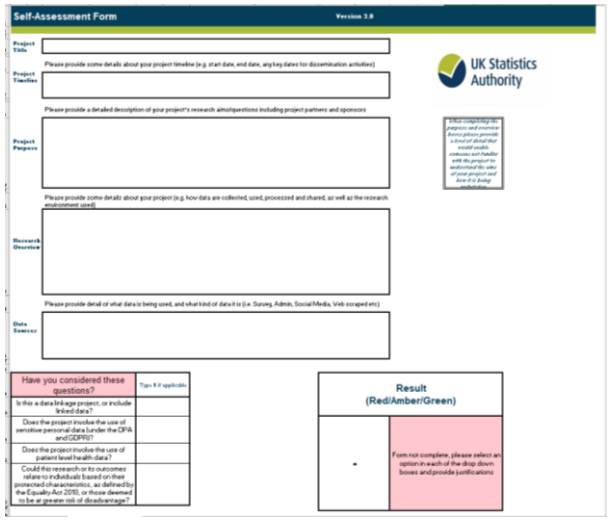
Self-assessment guidance

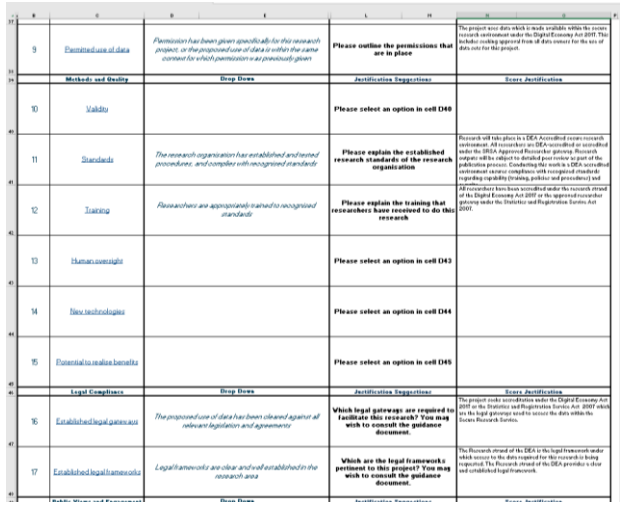
On the UK Statistics Authority website:

See: https://uksa.statisticsauthority.gov.uk/the-authority-board/committees/national-statisticians-advisory-committees-and-panels/national-statisticians-data-ethics-advisory-committee/ethics-self-assessment-tool/

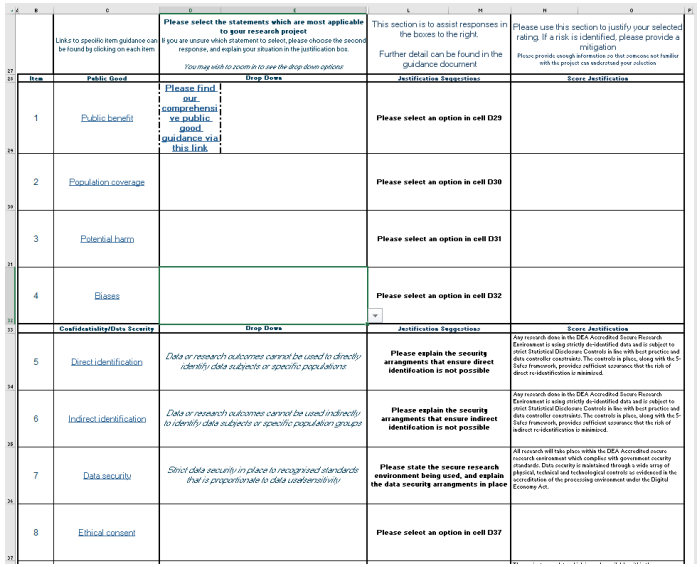


Self-assessment form

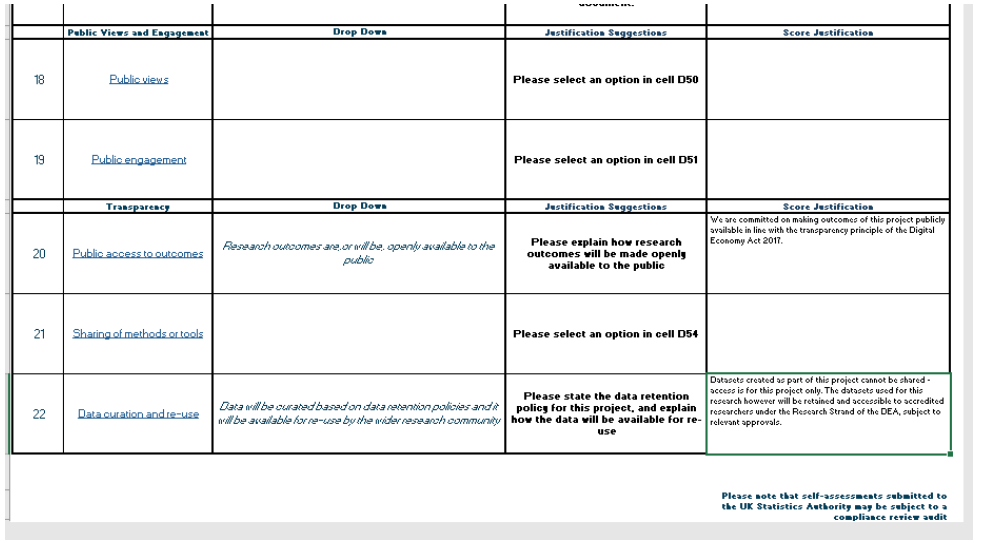




9	Permitted use of data	*Permission has been given specifically for this research project, or the proposed use of data is within the same context for which permission was previously given*	**Please outline the permissions that are in place**		The project uses data which is made available within the secure research environment under the Digital Economy Act 2017. This includes making approval from all data owners for the use of data sets for this project.
	Methods and Quality	**Drop Down**	**Justification Suggestions**	**Score Justification**	
10	Validity		**Please select an option in cell D40**		
11	Standards	*The research organisation has established and tested procedures, and complies with recognised standards*	**Please explain the established research standards of the research organisation**		Research will take place in a DEA Accredited secure research environment. All researchers are DEA-accredited or accredited under the ONSA Approved Researcher gateway. Research outputs will be subject to detailed peer review as part of the publication process. Conducting this work in a DEA accredited environment ensures compliance with recognised standards regarding capability (training, policies and procedures) and
12	Training	*Researchers are appropriately trained to recognised standards*	**Please explain the training that researchers have received to do this research**		All researchers have been accredited under the research strand of the Digital Economy Act 2017 or the approved researcher gateway under the Statistics and Registration Service Act 2007.
13	Human oversight		**Please select an option in cell D43**		
14	New technologies		**Please select an option in cell D44**		
15	Potential to realise benefits		**Please select an option in cell D45**		
	Legal Compliance	**Drop Down**	**Justification Suggestions**	**Score Justification**	
16	Established legal gateways	*The proposed use of data has been cleared against all relevant legislation and agreements*	**Which legal gateways are required to facilitate this research? You may wish to consult the guidance document.**		The project under accreditation under the Digital Economy Act 2017 as the Statistics and Registration Service Act 2007 which are the legal gateways used to access the data within the Secure Research Service.
17	Established legal frameworks	*Legal frameworks are clear and well established in the research area*	**Which are the legal frameworks pertinent to this project? You may wish to consult the guidance document.**		The Research strand of the DEA is the legal framework under which access to the data required for this research is being requested. The Research strand of the DEA provides a clear and established legal framework.



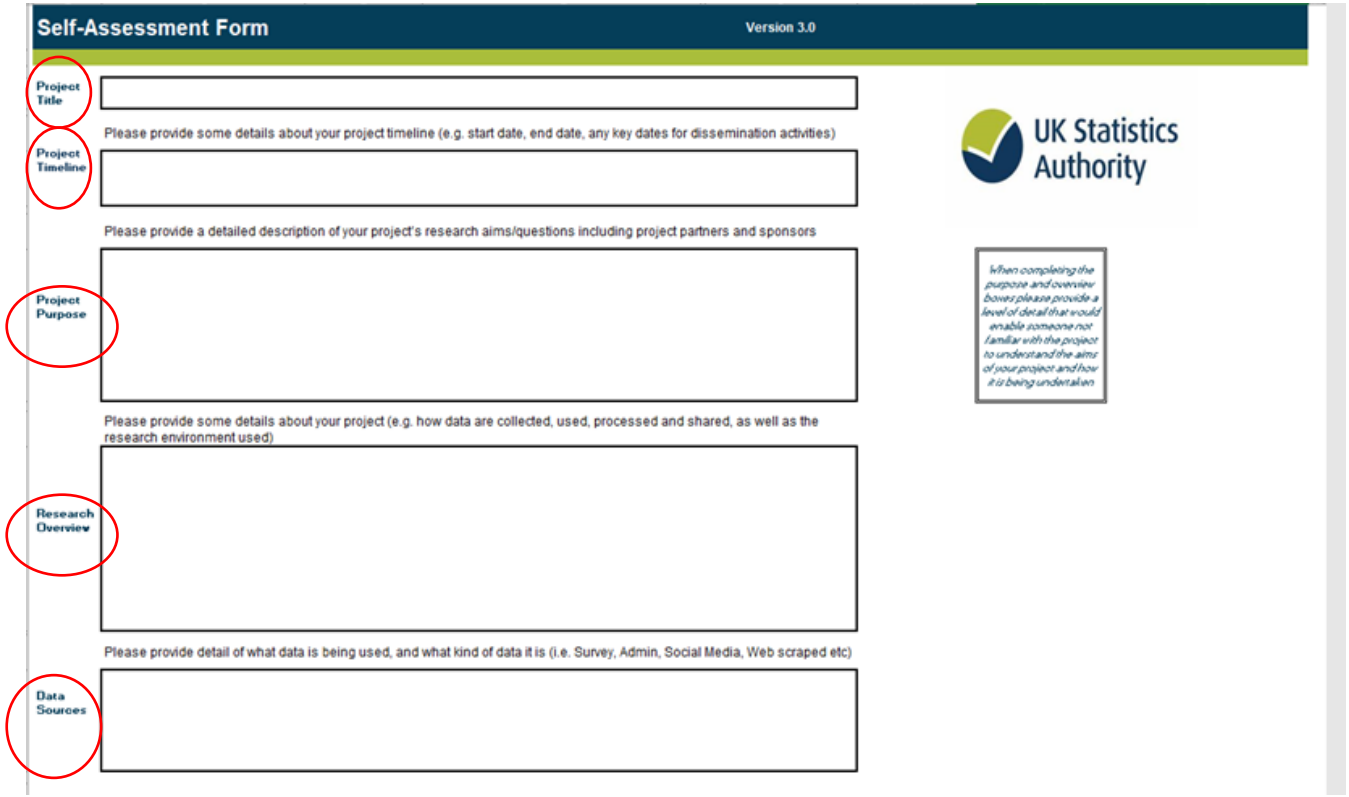
Item	Public Good	Please select the statements which are most applicable to your research project If you are unsure which statement to select, please choose the second response, and explain your situation in the justification box. *You may wish to zoom in to see the drop down options*	This section is to assist responses in the boxes to the right. Further detail can be found in the guidance document	Please use this section to justify your selected rating. If a risk is identified, please provide a mitigation Please provide enough information so that someone not familiar with the project can understand your selection
		Drop Down	**Justification Suggestions**	**Score Justification**
1	Public benefit	Please find our comprehensive public good guidance via this link	**Please select an option in cell D29**	
2	Population coverage		**Please select an option in cell D30**	
3	Potential harm		**Please select an option in cell D31**	
4	Biases		**Please select an option in cell D32**	
	Confidentiality/Data Security	**Drop Down**	**Justification Suggestions**	**Score Justification**
5	Direct identification	*Data or research outcomes cannot be used to directly identify data subjects or specific populations*	**Please explain the security arrangements that ensure direct identification is not possible**	Any research done in the DEA Accredited Secure Research Environment is using strictly de-identified data and is subject to strict Statistical Disclosure Controls in line with best practice and data controller constraints. The controls in place, along with the 5 Safes framework, provides sufficient assurance that the risk of direct re-identification is minimised.
6	Indirect identification	*Data or research outcomes cannot be used indirectly to identify data subjects or specific population groups*	**Please explain the security arrangements that ensure indirect identification is not possible**	Any research done in the DEA Accredited Secure Research Environment is using strictly de-identified data and is subject to strict Statistical Disclosure Controls in line with best practice and data controller constraints. The controls in place, along with the 5 Safes framework, provides sufficient assurance that the risk of indirect re-identification is minimised.
7	Data security	*Strict data security in place to recognised standards that is proportionate to data use/sensitivity*	**Please state the secure research environment being used, and explain the data security arrangments in place**	All research will take place within the DEA Accredited secure research environment which complies with government security standards. Data security is maintained through a wide array of physical, technical and technological controls as evidenced in the accreditation of the processing environment under the Digital Economy Act.
8	Ethical consent		**Please select an option in cell D37**	



	Public Views and Engagement	Drop Down	Justification Suggestions	Score Justification
18	Public views		**Please select an option in cell D50**	
19	Public engagement		**Please select an option in cell D51**	
	Transparency	**Drop Down**	**Justification Suggestions**	**Score Justification**
20	Public access to outcomes	*Research outcomes are, or will be, openly available to the public*	**Please explain how research outcomes will be made openly available to the public**	We are committed on making outcomes of this project publicly available in line with the transparency principle of the Digital Economy Act 2017.
21	Sharing of methods or tools		**Please select an option in cell D54**	
22	Data curation and re-use	*Data will be curated based on data retention policies and it will be available for re-use by the wider research community*	**Please state the data retention policy for this project, and explain how the data will be available for re-use**	Datasets created as part of this project cannot be shared - access is for this project only. The datasets used for this research however will be retained and accessible to accredited researchers under the Research Strand of the DEA, subject to relevant approvals.

Please note that self-assessments submitted to the UK Statistics Authority may be subject to a compliance review audit

Basic project information:


Self-Assessment Form

Version 3.0

Project Title

Please provide some details about your project timeline (e.g. start date, end date, any key dates for dissemination activities)

Project Timeline

Please provide a detailed description of your project's research aims/questions including project partners and sponsors

Project Purpose

Please provide some details about your project (e.g. how data are collected, used, processed and shared, as well as the research environment used)

Research Overview

Please provide detail of what data is being used, and what kind of data it is (i.e. Survey, Admin, Social Media, Web scraped etc)

Data Sources

UK Statistics Authority

When completing the purpose and overview boxes please provide a level of detail that would enable someone not familiar with the project to understand the aims of your project and how it is being undertaken

Project title: ensure it is the same as on the application.

Project timeline: ensure this aligns with the dates in your application.

- Start date
- End date
- Other key dates (e.g. dates for dissemination activities e.g. papers, conferences, blogs)

Project purpose:

- Research aims and questions.
- Project partners/ sponsors(if you have any).

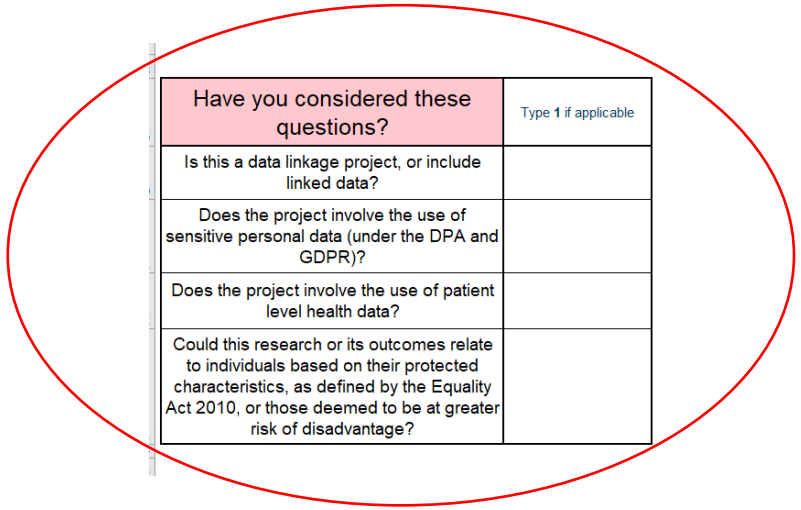
Project overview:

- Methods used
- Where you will access data from (Secure Research Service)
- Plans for dissemination of findings.
- Other background information (e.g. public benefit).

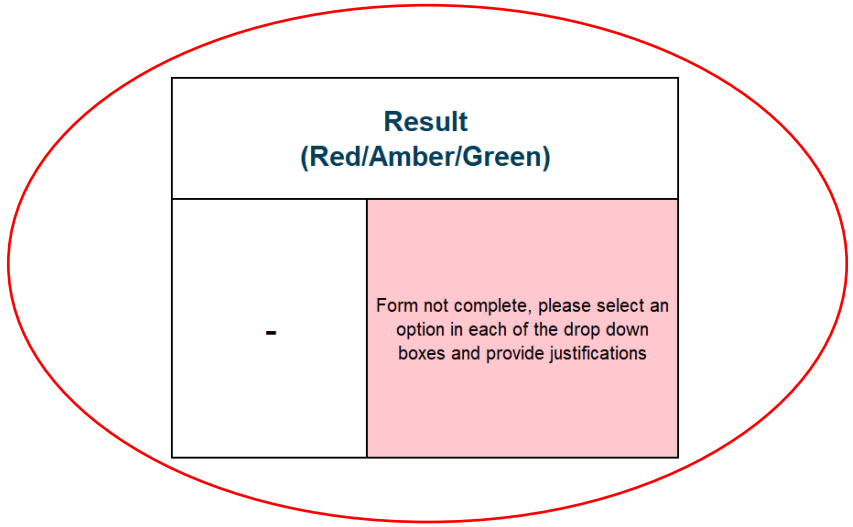
Data sources:

- Data used: ONS Longitudinal Survey
- Data type: Survey and administration data
- Why using ONS LS as against another one?

Weightings for sensitive research areas



Have you considered these questions?	Type **1** if applicable
Is this a data linkage project, or include linked data?	
Does the project involve the use of sensitive personal data (under the DPA and GDPR)?	
Does the project involve the use of patient level health data?	
Could this research or its outcomes relate to individuals based on their protected characteristics, as defined by the Equality Act 2010, or those deemed to be at greater risk of disadvantage?	

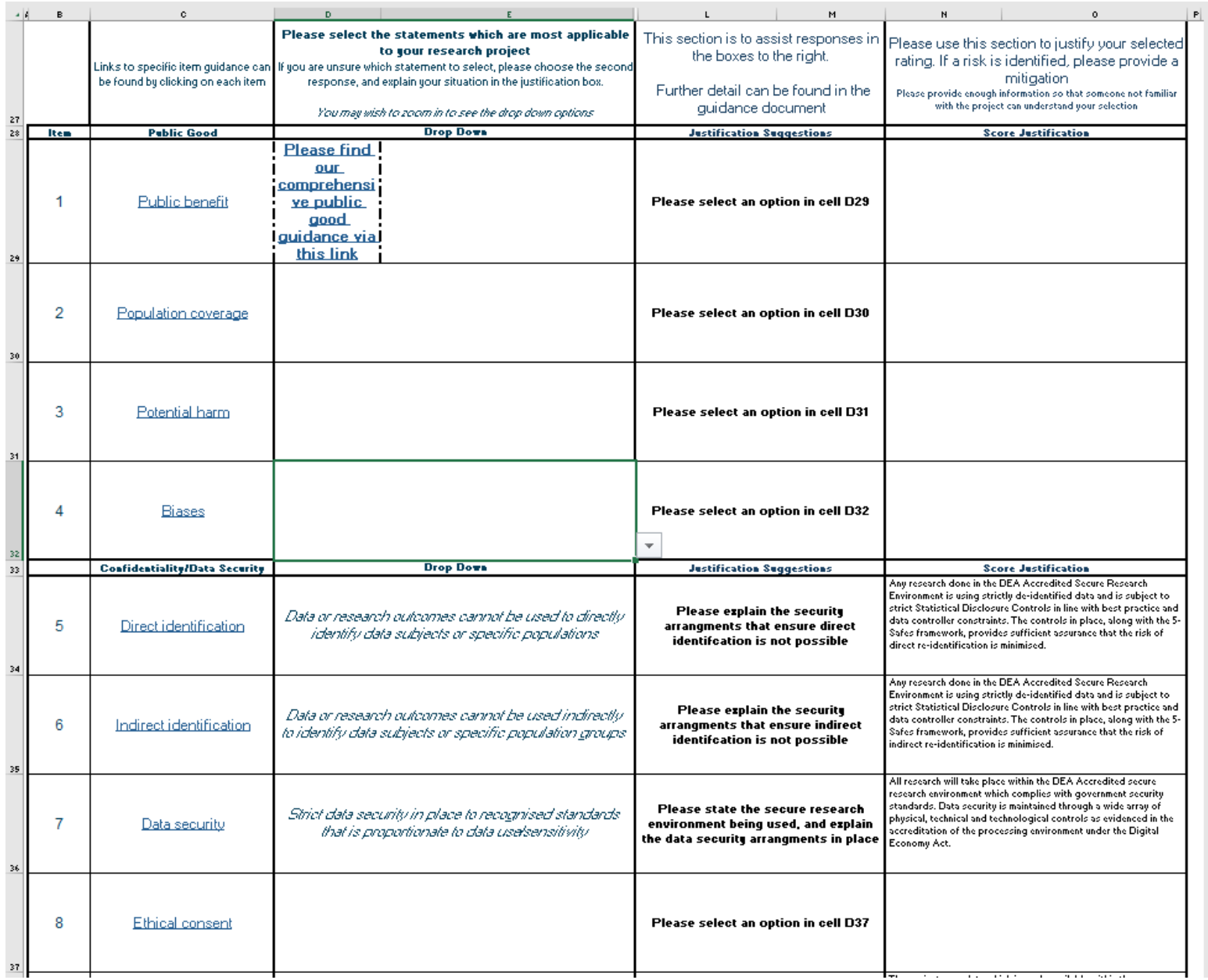


Result (Red/Amber/Green)	
-	Form not complete, please select an option in each of the drop down boxes and provide justifications

- *Is this a data linkage project?* Yes if you will be adding data to the ONS LS data.
- *Does the project involve the use of sensitive personal data (under GDPR)?* No.
- *Does the project involve the use of patient level health data?* No.
- *Could this research of or outcomes relate to individuals based on their protected characteristics (defined by the 2010 Equality Act)?* Yes, if you are focusing on particular protected characteristics (e.g. ethnic groups/ gender identity/ religion).

This will update automatically based on the weightings and the drop-down menu selections.

Item drop down selection and justification



	B	C	D E	L M	N O P
27		Links to specific item guidance can be found by clicking on each item	**Please select the statements which are most applicable to your research project** If you are unsure which statement to select, please choose the second response, and explain your situation in the justification box. *You may wish to zoom in to see the drop down options*	This section is to assist responses in the boxes to the right. Further detail can be found in the guidance document	Please use this section to justify your selected rating. If a risk is identified, please provide a mitigation Please provide enough information so that someone not familiar with the project can understand your selection
28	**Item**	**Public Good**	**Drop Down**	**Justification Suggestions**	**Score Justification**
29	1	Public benefit	**Please find our comprehensive public good guidance via this link**	**Please select an option in cell D29**	
30	2	Population coverage		**Please select an option in cell D30**	
31	3	Potential harm		**Please select an option in cell D31**	
32	4	Biases		**Please select an option in cell D32**	
33		**Confidentiality/Data Security**	**Drop Down**	**Justification Suggestions**	**Score Justification**
34	5	Direct identification	*Data or research outcomes cannot be used to directly identify data subjects or specific populations*	**Please explain the security arrangments that ensure direct identifcation is not possible**	Any research done in the DEA Accredited Secure Research Environment is using strictly de-identified data and is subject to strict Statistical Disclosure Controls in line with best practice and data controller constraints. The controls in place, along with the 5-Safes framework, provides sufficient assurance that the risk of direct re-identification is minimised.
35	6	Indirect identification	*Data or research outcomes cannot be used indirectly to identify data subjects or specific population groups*	**Please explain the security arrangments that ensure indirect identifcation is not possible**	Any research done in the DEA Accredited Secure Research Environment is using strictly de-identified data and is subject to strict Statistical Disclosure Controls in line with best practice and data controller constraints. The controls in place, along with the 5-Safes framework, provides sufficient assurance that the risk of indirect re-identification is minimised.
36	7	Data security	*Strict data security in place to recognised standards that is proportionate to data use/sensitivity*	**Please state the secure research environment being used, and explain the data security arrangments in place**	All research will take place within the DEA Accredited secure research environment which complies with government security standards. Data security is maintained through a wide array of physical, technical and technological controls as evidenced in the accreditation of the processing environment under the Digital Economy Act.
37	8	Ethical consent		**Please select an option in cell D37**	

Item 1: Public Good

Item	Public Good	Drop Down	Justification Suggestions	Score Justification
1	Public benefit	Please find our comprehensive public good guidance via this link	Please select an option in cell D29	
2	Population coverage		Please select an option in cell D30	
3	Potential harm		Please select an option in cell D31	
4	Biases		Please select an option in cell D32	

Drop-down menu:

- This research will provide a significant public good in line with best practice guidance.
- Potential to achieve public good which requires further exploration.
- Negligible public good that is not in line with best practice guidance.

LS research must have a public good.
Summarise what you have written in Section 5 of your application form.

Item 2: Population coverage

Item	Public Good	Drop Down		Justification Suggestions	Score Justification
1	Public benefit	Please find our comprehensive public good guidance via this link		Please select an option in cell D29	
2	Population coverage			Please select an option in cell D30	
3	Potential harm			Please select an option in cell D31	
4	Biases			Please select an option in cell D32	

Drop-down menu:

- Public good applicable to entire population.
- Societal benefits might be limited to certain groups/areas.
- Societal benefits will be limited to certain groups/areas.
- N/A: Omit this item when the scope of this research specifically targets a particular group.

Item 3: Potential harm

Item	Public Good	Drop Down		Justification Suggestions	Score Justification
1	Public benefit	Please find our comprehensive public good guidance via this link		Please select an option in cell D29	
2	Population coverage			Please select an option in cell D30	
3	Potential harm			Please select an option in cell D31	
4	Biases			Please select an option in cell D32	

Drop-down menu:

- Negligible harm to anyone involved, including the public.
- Identified potential harm to anyone involved that can be justified and mitigated against.
- Identified potential harm that cannot be mitigated against.

Item 4: Biases

Item	Public Good	Drop Down		Justification Suggestions	Score Justification
1	Public benefit	Please find our comprehensive public good guidance via this link		Please select an option in cell D29	
2	Population coverage			Please select an option in cell D30	
3	Potential harm			Please select an option in cell D31	
4	Biases			Please select an option in cell D32	

- **Drop-down menu:**
- As yet, bias has not been identified in planned methods and outcomes.
- As yet, there is potential for bias/bias has been identified, but it can be justified and mitigated against.
- As yet, there is potential for bias/bias has been identified, but it cannot be mitigated against.

Items 5 – 9: Confidentiality/ Data security

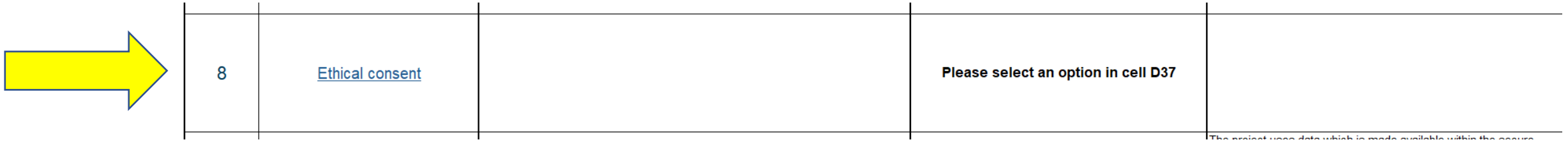
	Confidentiality/Data Security	Drop Down	Justification Suggestions	Score Justification
5	Direct identification	*Data or research outcomes cannot be used to directly identify data subjects or specific populations*	**Please explain the security arrangments that ensure direct identifcation is not possible**	Any research done in the DEA Accredited Secure Research Environment is using strictly de-identified data and is subject to strict Statistical Disclosure Controls in line with best practice and data controller constraints. The controls in place, along with the 5-Safes framework, provides sufficient assurance that the risk of direct re-identification is minimised.
6	Indirect identification	*Data or research outcomes cannot be used indirectly to identify data subjects or specific population groups*	**Please explain the security arrangments that ensure indirect identifcation is not possible**	Any research done in the DEA Accredited Secure Research Environment is using strictly de-identified data and is subject to strict Statistical Disclosure Controls in line with best practice and data controller constraints. The controls in place, along with the 5-Safes framework, provides sufficient assurance that the risk of indirect re-identification is minimised.
7	Data security	*Strict data security in place to recognised standards that is proportionate to data use/sensitivity*	**Please state the secure research environment being used, and explain the data security arrangments in place**	All research will take place within the DEA Accredited secure research environment which complies with government security standards. Data security is maintained through a wide array of physical, technical and technological controls as evidenced in the accreditation of the processing environment under the Digital Economy Act.
8	Ethical consent		**Please select an option in cell D37**	
9	Permitted use of data	*Permission has been given specifically for this research project, or the proposed use of data is within the same context for which permission was previously given*	**Please outline the permissions that are in place**	The project uses data which is made available within the secure research environment under the Digital Economy Act 2017. This includes seeking approval from all data owners for the use of data sets for this project.

Items 5, 6, 7 and 9 have been completed.

Do not change.

Complete item 8.

Item 8: Ethical consent



Drop-down menu:

– Informed consent has been obtained from data subjects for all stages of this particular project.

– Consent has not been obtained from data subjects for this particular research and can be justified.

– Informed consent has not been obtained from data subjects and cannot be justified.

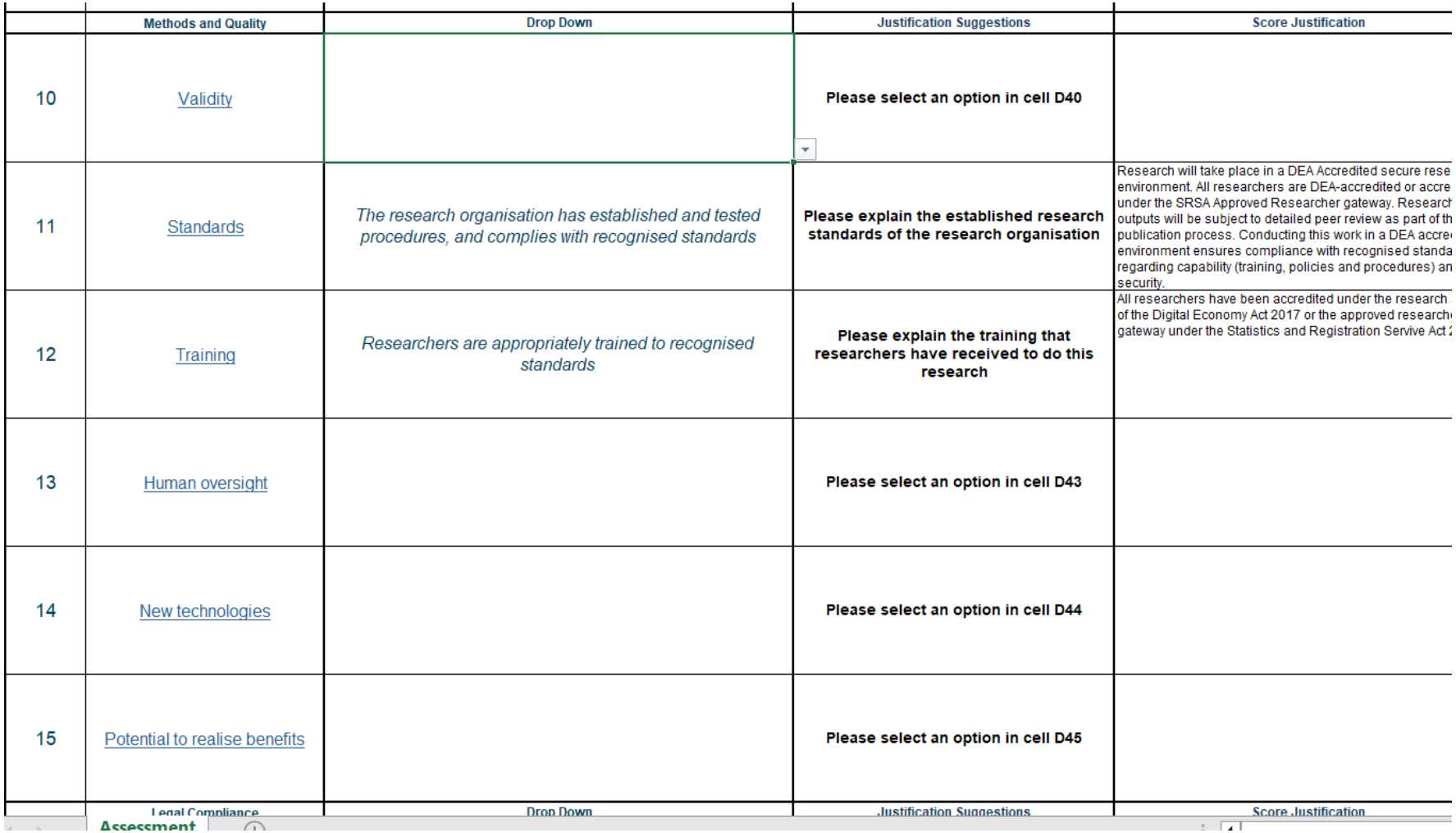
Suggested text for the justification:

Consent is not the legal basis for processing.

The census has to be completed by all individuals living in England and Wales on Census night. Individuals completing the form understand how their data will be processed and stored.

The LS is a large dataset with 1.1 million study members who are selected on the basis of four confidential birthdays, therefore it would not be logistically possible to contact them to gain their consent to participate in the research. Furthermore, as highlighted in item 1 above, the study has clear public benefit.

Items 10 – 15: Methods and quality



	Methods and Quality	Drop Down	Justification Suggestions	Score Justification
10	Validity		**Please select an option in cell D40**	
11	Standards	*The research organisation has established and tested procedures, and complies with recognised standards*	**Please explain the established research standards of the research organisation**	Research will take place in a DEA Accredited secure rese environment. All researchers are DEA-accredited or accre under the SRSA Approved Researcher gateway. Research outputs will be subject to detailed peer review as part of th publication process. Conducting this work in a DEA accre environment ensures compliance with recognised standa regarding capability (training, policies and procedures) an security.
12	Training	*Researchers are appropriately trained to recognised standards*	**Please explain the training that researchers have received to do this research**	All researchers have been accredited under the research of the Digital Economy Act 2017 or the approved research gateway under the Statistics and Registration Servive Act 2
13	Human oversight		**Please select an option in cell D43**	
14	New technologies		**Please select an option in cell D44**	
15	Potential to realise benefits		**Please select an option in cell D45**	
	Legal Compliance	Drop Down	Justification Suggestions	Score Justification

Assessment

Items 11 and 12 have been completed.

Complete 10, 13, 14 and 15.

Item 10: Validity

	Methods and Quality	Drop Down	Justification Suggestions	Score Justification
10	Validity		Please select an option in cell D40	

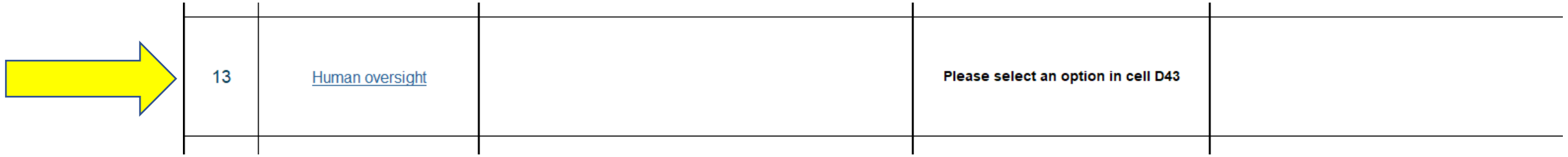
Drop-down menu

- Confidence that the methods used, and quality of data will lead to valid conclusions.
- There is limited confidence/it is unsure whether the methods used, and quality of data will lead to valid conclusions.
- Potential that methods used, and quality of data may/will lead to invalid conclusions.

Suggested text:

The Longitudinal Study is a large, quality assured dataset produced by Office for National Statistics. Established research methods will be employed to reach valid conclusions.

Item 13: Human oversight



13	Human oversight		Please select an option in cell D43	

Drop-down menu

- Human oversight of all elements of research process, and regular audits of automated outcomes.
- Significant use of automated processes and/or off the shelf solutions with some level of human oversight.
- Research based on automated or opaque processes with minimal human oversight.
- N/A: Omit this item in case of fully transparent automated or manual processes with well documented assumptions.

Suggested text (example):

Research will be undertaken by trained researchers and all outputs will be checked twice by CeLSIUS USOs. The research team will meet regularly in order to review the methods used and research outputs, ensuring that it is of the highest quality standard.

Item 14: New Technologies

14	New technologies		Please select an option in cell D44	

Drop-down menu

- Research utilises well established methods and technologies.
- Methods and tools may be tried, but are still novel or automated.
- Research utilises untested or automated methods and technologies.
- N/A: Omit this item for small-scale exploratory projects and feasibility studies which are not used to produce any research/statistical outputs.

Justification:

What methods are you using? Are they well-established/ have they been used in previous similar research?

If you are using novel methods, can you provide references for where/ when they have been used?

Item 15: Potential to realise benefits

15	Potential to realise benefits		Please select an option in cell D45	

Drop-down menu

- Methods and quality of data will most likely result in realising the research benefits and fully mitigate any risks.
- There is limited confidence/it is unsure whether the methods and quality of data will result in realising research benefits or mitigate risks.
- Methods and quality of data have little/no potential to result in realising research benefits or mitigate risks.

Justification:

The data is available and the ONS LS is a high quality dataset.

Sufficient resources have been allocated to undertake the research and disseminate findings.

No barriers to realising the benefits of this research are foreseen.

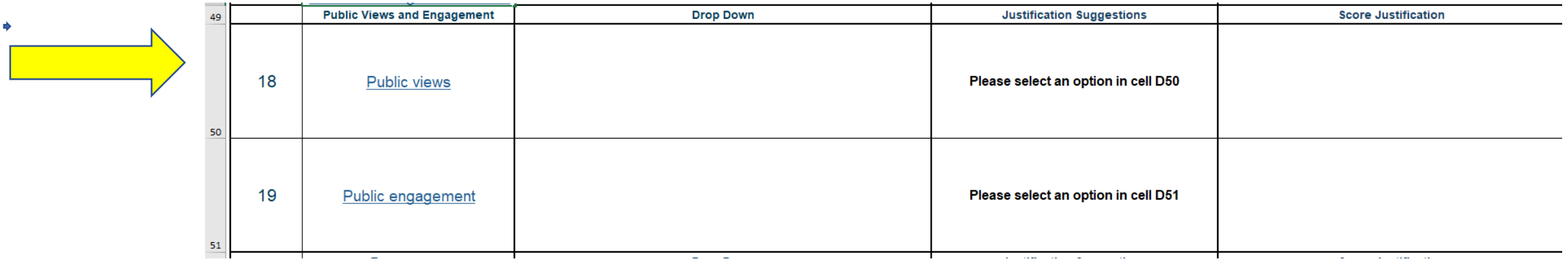
Items 16 - 17: Legal compliance

	Legal Compliance	Drop Down	Justification Suggestions	Score Justification
16	Established legal gateways	*The proposed use of data has been cleared against all relevant legislation and agreements*	**Which legal gateways are required to facilitate this research? You may wish to consult the guidance document.**	The project seeks accreditation under the Digital Economy Act 2017 or the Statistics and Registration Service Act 2007 which are the legal gateways used to access the data within the Secure Research Service.
17	Established legal frameworks	*Legal frameworks are clear and well established in the research area*	**Which are the legal frameworks pertinent to this project? You may wish to consult the guidance document.**	The Research strand of the DEA is the legal framework under which access to the data required for this research is being requested. The Research strand of the DEA provides a clear and established legal framework.

Two items.

These have been completed for you.

Items 18 - 19: Public views and engagement



	Public Views and Engagement	Drop Down	Justification Suggestions	Score Justification
18	Public views		Please select an option in cell D50	
19	Public engagement		Please select an option in cell D51	

Item 18: Public views

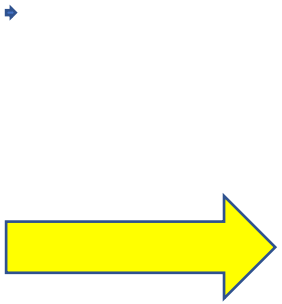
Drop-down menu:

- The public is widely supportive of the project aim and method.
- There is limited support of the project aim and methods from the public.
- The public's views of the project aims, and method are negative or unknown.

Justification?

- What positive views have you got from the public and how do you know?
- What limited public support have you received and what will you do to mitigate it?

Item 19: Public engagement



		Public Views and Engagement	Drop Down	Justification Suggestions	Score Justification
49					
50	18	Public views		Please select an option in cell D50	
51	19	Public engagement		Please select an option in cell D51	

Drop-down menu:

– The research involves regular engagement with the public and/or stakeholders.

– The research involves some engagement, though it is not regular throughout the research project.

– No public engagement has been conducted, or planned, as part of the project.

– N/A: Omit this item when no public engagement is required and can be clearly justified.

Justification?

– Outline your plans for public engagement.

– Outline your plans and justify why they are not regular.

Items 20 – 22: Transparency

	Transparency	Drop Down	Justification Suggestions	Score Justification
20	Public access to outcomes	*Research outcomes are,or will be, openly available to the public*	**Please explain how research outcomes will be made openly available to the public**	We are committed on making outcomes of this project publicly available in line with the transparency principle of the Digital Economy Act 2017.
21	Sharing of methods or tools		**Please select an option in cell D54**	
22	Data curation and re-use	*Data will be curated based on data retention policies and it will be available for re-use by the wider research community*	**Please state the data retention policy for this project, and explain how the data will be available for re-use**	Datasets created as part of this project cannot be shared - access is for this project only. The datasets used for this research however will be retained and accessible to accredited researchers under the Research Strand of the DEA, subject to relevant approvals.

Item 21: Sharing methods and tools

Drop-down menu

- Both methods and/or tools are, or will be, made widely available to the public.
- Don’t know, or unsure if methods and tools will be available to the public.
- Both methods and tools are not, or will not be, made widely available to the public, or will only be shared internally.
- N/A: Omit this item when you are not able to share these tools and methods.

Justification

- How will you make the methods and tools available, e.g. will you publish them as supplementary material to a paper? Will you provide them to researchers who want to replicate your research?
- If you aren’t sure, why not and how might you share them?

ANY
QUESTIONS
?

What next?

Send the following to CeLSIUS (celsius@ucl.ac.uk)

- Project application form
- ONS LS Supplementary form
- Self-assessment form

CeLSIUS review and provide feedback.

CeLSIUS will submit the files to ONS.

Thank you!

Email:

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CeLSIUS
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