

Application form for researchers seeking
secure access to data

# Introduction

This form covers applications for data held by MoJ, the MoJ–DfE data share, data held by HMCTS, and HMCTS[[1]](#footnote-2) and HMPPS[[2]](#footnote-3) data shared under Data First. It is to be used where a researcher wishes to access this data to undertake a research project within the ONS Secure Research Service, within their own secure setting through a Data Sharing Agreement, or to collect it directly from HMCTS personnel.

Your application will be evaluated against the following general criteria:

1. Data owner’s areas of research interest
2. The overall benefit to the data owner and wider public
3. Resources required to fulfil the request
4. Ethical considerations
5. Data protection and security
6. Feasibility of the proposed research project

Your application must discuss your project in sufficient detail and describe how you plan to process the data you are requesting to accomplish this project. Please ensure the language used is clear and accessible, recognising that the audience is knowledgeable but may not be familiar with specific techniques. If technical terms are used, please explain them to ensure they are understandable to those outside of your specific field of expertise. It is vital that you are specific when discussing your research questions, your planned methodology, and how you are using data to complete your research.

Should your request be rejected, you may amend and resubmit your application. We will support you during this stage and help you to address the grounds upon which your application was rejected.

This is a modular form, the data you are requesting and how you would like to access it will dictate which sections of the form you are required to fill in. Please see the ‘[Available data and their modes of access’](https://www.gov.uk/government/publications/moj-data-first-application-form-for-secure-access-to-data) document for details on which sections you are required to fill in. There is also [supplementary guidance](https://assets.publishing.service.gov.uk/media/62038afa8fa8f510b357cc44/data-sharing-guidance-researchers.pdf) which provides details on how to answer each question. It is highly recommended that you make use of this to complete your application. Please complete all relevant fields in the application form and provide all required documentation.

Incomplete applications and missing documentation will delay the approval process. If a question in a relevant section is not applicable, please submit ‘N/A’ in that section, please do not leave any questions blank. Please complete your application electronically and submit it to the relevant email dependent on the data you are requesting:

* MoJ held data: datalinkingteam@justice.gov.uk
* HMPPS and HMCTS Data First data: datafirst@justice.gov.uk
* HMCTS held data (excluding Data First): dataaccesspanel@justice.gov.uk
* MoJ–DfE Share: data.sharing@education.gov.uk and datalinkingteam@justice.gov.uk

# Section 1: Data access requirements (*this section applies to all)*

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| What data do you require access to? (see ‘[Available data and their modes of access’](https://view.officeapps.live.com/op/view.aspx?src=https%3A%2F%2Fassets.publishing.service.gov.uk%2Fmedia%2F663cec38bd01f5ed32793887%2Favailable-data-modes-access-v2.ods&wdOrigin=BROWSELINK) document if you are unsure what your request falls under) | [ ]  MoJ held data[ ]  HMCTS held data[[3]](#footnote-4)[ ]  HMCTS Data First data[[4]](#footnote-5)[ ]  HMPPS Data First data[[5]](#footnote-6)[ ]  MoJ DfE share |
| How do you want to access the data? (see ‘[Available data and their modes of access](https://view.officeapps.live.com/op/view.aspx?src=https%3A%2F%2Fassets.publishing.service.gov.uk%2Fmedia%2F663cec38bd01f5ed32793887%2Favailable-data-modes-access-v2.ods&wdOrigin=BROWSELINK)’ document if you are unsure of your options for accessing data) | [ ]  ONS Secure Research Service[[6]](#footnote-7)[ ]  Own secure setting[[7]](#footnote-8) [ ]  Direct Collection[[8]](#footnote-9) |

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| If you are applying for Police National Computer (PNC) data, do you already hold any data from the PNC including PNC data received from the Home Office? If the answer is yes, can you please provide the details, the retention period and a copy of the Data Sharing Agreement.  |
| Click or tap here to enter text. |

# Section 2: Applicants’ details (*this section applies to all)*

## 2.1 Basic Details

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| --- | --- |
| Name of requesting organisation. (This must be the name of the person or organisation who is requesting access):Please state the name of the requesting organisation and the type of organisation (e.g. academic organisation, independent think tank, public authority under FOIA, commercial organisation etc). | Click or tap here to enter text. |
| Primary Contact name, position, telephone number, email address (cannot be a private email address):This applicant should be the individual who is the day-to-day lead for the project. | Click or tap here to enter text. |
| Secondary Contact name, position, telephone number, email address (cannot be a private email address):This contact should be the individual who has overall responsibility for the project (e.g. the supervising tutor, principal researcher, director of research etc). | Click or tap here to enter text. |
| Data Protection Officer name, address, telephone number, email address. | Click or tap here to enter text. |
| ICO registration number or a valid exemption. | Click or tap here to enter text. |
| Date project application submitted.  | Click or tap here to enter text. |

## 2.2 Relationship with Other Organisations

Please detail any funding, sponsoring or commissioning relationships with other organisations that are relevant to this research (other than the individuals named as researchers accessing the data and the requesting organisation, e.g. the organisation that will be in receipt of and will process the extract). If data access is granted, data owners must be informed of any new research relevant relationships throughout the course of the project. We will reassess your application when informed of any new research relationships.

For all organisations that have a relationship with the request, you must fill in:

* Name of the Organisation
* Nature of the relationship with the data request and research (e.g. funding, sponsoring, commissioning)
* The organisation’s data protection role with regards to the role (e.g. Data Controller, Joint Data Controller, Data Processor) for the project
* Primary contact details (including phone numbers).

| Name of institute or organisation\* | Nature of the relationship (e.g. funding, sponsoring, commissioning) | Data Protection Role  | Primary contact details  |
| --- | --- | --- | --- |
| Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
| Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |

\*add extra rows as necessary

## 2.3 Key Skills

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| **Have your team undergone data protection training or similar? Please give further details** |
| Click or tap here to enter text. |

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| **What are your project team’s analytical skills?** |
| Click or tap here to enter text. |

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| **Please provide a summary of your experience with the types of data you have requested.** |
| Click or tap here to enter text. |

# Section 3: Project details *(this section applies to all)*

The purpose of this section is to gather evidence to ensure the project itself is on a sound legal footing and that the ethical and public benefit arguments are strong.

## 3.1 Full Title of the Project (maximum 10 words – *for MoJ-DfE projects only*)[[9]](#footnote-10)

|  |
| --- |
| Click or tap here to enter text. |

## 3.2 Brief Purpose

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| Please provide no more than a 150 word overview of the project. This will be published on gov.uk for the purposes of transparency. As such, you must follow the format below. Please do not forget to add a statement on the public benefit. Please use plain English language that would be easy to understand by an interested citizen. Avoid acronyms, heavy research or topic-specific jargon. Lastly, please use the third person (i.e. do not use “I” or “We”).Example: [insert your organisation name] wishes to use [describe dataset in a high-level way, e.g. Police National Computer data]. With this data they will [insert a 3–4 sentence description of the research]. The public benefit of this work will be [insert here…how do current or future members of the public, particularly subjects of the dataset, benefit from this?]. |
| Click or tap here to enter text. |

|  |
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| There may be exceptions where we do not publish an overview of the project – for example, to protect the privacy of researchers working on particularly sensitive topics. If you believe you should be exempt, please detail why this is the case.  |
| Click or tap here to enter text. |

### 3.2.1 Fuller Description & Outputs

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| Please provide a fuller description of your project, including the research questions being addressed and datasets proposed to use for each research question (this must match any datasets listed in section 5.1) as well as the intended methods, so that data owners can gain a fuller understanding of the work you wish to undertake. Please also focus on why/how your work is likely to lead to meaningful results that will have public benefit and meet the priorities of those responsible for the data. Please also ensure this reflects how you meet the specific assessment criteria for the data you are requesting ([see user guidance for assessment criteria](https://assets.publishing.service.gov.uk/media/62038afa8fa8f510b357cc44/data-sharing-guidance-researchers.pdf)). Please use the guidance notes to help you complete this section. |
| Click or tap here to enter text. |

|  |
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| Do you have any contacts in MoJ with whom you have discussed the value or feasibility of this research? Have you consulted or submitted your project to any other panel at the MoJ such as the National Research Committee? If so, can you please provide details. |
| Click or tap here to enter text. |

|  |
| --- |
| Please specify which outputs you intend this project to deliver and provide further detail in the text box below. Please tick all that apply |
| Internal work (publication not intended at this stage) | [ ]  |
| Freely available research findings / reports | [ ]  |
| Chargeable research findings / reports**[[10]](#footnote-11)** | [ ]  |
| Other chargeable output (please specify below) | [ ]  |
| Other non-chargeable output (please specify below) | [ ]  |
| Research findings / reports for use by the media | [ ]  |
| Free software products / webtools for data analysis (open access / restricted access) | [ ]  |
| Chargeable software products / webtools for data analysis (open access / restricted access) | [ ]  |
| Research commissioned by public sector bodies including government departments  | [ ]  |
| Research commissioned by third sector organisations  | [ ]  |
| Not applicable | [ ]  |

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| Please provide further details of all intended outputs in the box below |
| Click or tap here to enter text. |

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| If you have selected any chargeable outputs for data analysis above, please explain how the data will be used, including any plans for commercialisation, financial profit and any overlap with existing products or analysis.  |
|  Click or tap here to enter text. |

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| If you are not intending to publish your outputs please explain why. |
| Click or tap here to enter text. |

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| Please confirm you will provide any written or record outputs that will be made available publicly (e.g. books, articles, etc.), at least two weeks prior to release  | [ ]  Yes[ ]  No  |

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| What will the impact of not acquiring the data you are requesting be upon your research project? |
| Click or tap here to enter text. |

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| Could the data you are requesting be sought from another source? If so, please explain why you have chosen this process for accessing the data. |
| Click or tap here to enter text. |

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| What are the main limitations of your proposed project? |
| Click or tap here to enter text. |

### 3.2.2 Project timescales

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| Please provide the timeframes for your research project. Please include in your response the start date alongside any milestones that are critical and explain why.Please note, we aim to progress your request through governance within three months of all information being provided and validated. |
| Click or tap here to enter text. |

## 3.3 Ethics

You must provide evidence of ethics consideration for your research project[[11]](#footnote-12).

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| --- | --- | --- |
| Have you received ethical approval for this project from any research ethics panel (e.g. university ethics board) | [ ]  Yes[ ]  No |  |
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| If yes, please outline the ethical approval you have received, including details of the review panel and a summary of their feedback including any concerns raised, attaching any relevant documentation e.g. approval letters.If no, but you are planning to seek ethical review from an ethics panel, please provide details on how and when you will do this. If no and you are not planning to seek approval, please explain why you do not consider this necessary. |
| Click or tap here to enter text. |

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| Please provide an overview of work undertaken to consider public views on this research area to ensure that this proposal is acceptable to the public. Please also provide evidence of any public acceptability considerations from ethics committees and/or any direct or indirect public engagement work. |
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| Please provide a summary of the main ethical considerations and mitigations.  |
| Click or tap here to enter text. |

## 3.4 Risk register and mitigation

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| What are the key risks and how do you intend to plan for them?  |
| Click or tap here to enter text. |

# Section 4: GDPR *(this section applies to all)*

## 4.1 GDPR Conditions for Processing Data

We rely on the Public Task condition for processing personal level data.

Please tick one applicable condition for processing that your organisation is intending to use to process the data extract. The [ICO webtool](https://ico.org.uk/for-organisations/uk-gdpr-guidance-and-resources/lawful-basis/lawful-basis-interactive-guidance-tool/) might help you determine which condition is right for your project.

**Conditions for processing data**

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| --- | --- |
| Consent – the individual has given clear consent for the organisation to process their individual data for a specific purpose | [ ]  |
| *If relying on consent, please also tick the box here to confirm you understand the changes in DPA2018 and GDPR, and provide adequate evidence (e.g. a copy of the consent form and privacy notices that have been used for the project).* | [ ]  |
| **Contract** – the processing is necessary for a contract the organisation has with the individual, or because the individual has asked the organisation to take specific steps before entering into a contract |[ ]
| **Legal obligation** – the processing is necessary for the organisation to comply with the law (not including contractual obligations) |[ ]
| **Vital interests** – the processing is necessary to protect someone’s life | [ ]  |
| **Public task** – the processing is necessary for the organisation to perform a task in the public interest or for the organisation’s official functions, and the task or function has a clear basis in law. |[ ]
| **Legitimate interests** – the processing is necessary for the organisation’s legitimate interests or the legitimate interests of a third party unless there is a good reason to protect the individual’s individual data that overrides those legitimate interests.  |[ ]

### 4.1.1 Justification

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| Provide justification on how your research meets the chosen condition for processing personal level data above.If you have selected public task, please provide details on the specific legislation that allows for this legal basis. If you have selected legitimate interests, please provide details and evidence on what the legitimate interest is, how the project described in the brief purpose meets the legitimate interest and how the project balances the legitimate interest against the data protection rights of individuals. Further information on carrying out a legitimate interests assessment can be found at [Legitimate interests | ICO](https://ico.org.uk/for-organisations/uk-gdpr-guidance-and-resources/lawful-basis/legitimate-interests/what-is-the-legitimate-interests-basis/#three_part_test) |
| Click or tap here to enter text. |

## 4.2 GDPR Conditions for Processing Special Categories of Data

If you or your organisation intends to process [special categories of data](https://ico.org.uk/for-organisations/uk-gdpr-guidance-and-resources/lawful-basis/a-guide-to-lawful-basis/special-category-data/) you need to identify both a lawful basis for general processing (above) and one additional condition (below) and state how you meet this condition with reference to DPA 2018 Schedule 1.

We rely on the following conditions for processing special categories of data:

* Substantial public interest based in law (Article 9(2)(g)) – processing is necessary for reasons of substantial public interest, on the basis of Union or Member State law which shall be proportionate to the aim pursued, respect the essence of the right to data protection and provide for suitable and specific measures to safeguard the fundamental rights and the interests of the data subject.
* Necessary for archiving, scientific, historical research or statistical purposes (Article 9(2)(j)) – processing is necessary for archiving purposes in the public interest, scientific or historical research purposes or statistical purposes based on law which shall be proportionate to the aim pursued, respect the essence of the right to data protection and provide for suitable and specific measures to safeguard the fundamental rights and the interests of the data subject.

Please indicate which additional condition you will be using for processing special categories of data for your project. Please only select one option.

**Conditions for processing special categories of data**

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| Not applicable: I am not requesting any special category data. | [ ]  |
| **Explicit consent (Article 9(2)(a))** – the data subject has given explicit consent to the processing of those individual data for one or more specified purposes. |[ ]
| *If you are relying on consent, please confirm you understand the changes in DPA2018 and GDPR, and provide adequate evidence (e.g. a copy of the consent form and privacy notices that have been used for the project).* |[ ]
| **Necessary for obligations under employment, social security, social protection law (Article 9(2)(b))** – processing is necessary for the purposes of carrying out the obligations and exercising specific rights of the controller or of the data subject in the field of employment and social security and social protection law |[ ]
| **Vital interests (Article 9(2)(c))** – processing is necessary to protect the vital interests of the data subject or of another natural person where the data subject is physically or legally incapable of giving consent  | [ ]  |
| **Processing by a not for profit body with political/philosophical/religious/ trade union aim (Article 9(2)(d))** – processing is carried out in the course of its legitimate activities with appropriate safeguards by a foundation, association or any other not-for-profit body with a political, philosophical, religious or trade union aim and on condition that the processing relates solely to the members or to former members of the body or to persons who have regular contact with it in connection with its purposes and that the individual data are not disclosed outside that body without the consent of the data subjects | [ ]  |
| **Data made public by data subject (Article 9(2)(e))** – processing relates to individual data which are manifestly made public by the data subject | [ ]  |
| **Necessary for judicial reasons (Article 9(2)(f))** – processing is necessary for the establishment, exercise or defence of legal claims or whenever courts are acting in their judicial capacity | [ ]  |
| **Substantial Public interest based in law (Article 9(2)(g))** – processing is necessary for reasons of substantial public interest, on the basis of Union or Member State law which shall be proportionate to the aim pursued, respect the essence of the right to data protection and provide for suitable and specific measures to safeguard the fundamental rights and the interests of the data subject | [ ]  |
| **Processing for healthcare reasons (Article 9(2)(h))** – processing is necessary for the purposes of preventive or occupational medicine, for the assessment of the working capacity of the employee, medical diagnosis, the provision of health or social care or treatment or the management of health or social care systems and services on the basis of Union or Member State law or pursuant to contract with a health professional |[ ]
| **Processing necessary for public health reasons (Article 9(2)(i))** – processing is necessary for reasons of public interest in the area of public health, such as protecting against serious cross-border threats to health or ensuring high standards of quality and safety of health care and of medicinal products or medical devices, on the basis of Union or Member State law which provides for suitable and specific measures to safeguard the rights and freedoms of the data subject, in particular professional secrecy |[ ]
| **Necessary for archiving, scientific, historical research or statistical purposes (Article 9(2)(j))** – processing is necessary for archiving purposes in the public interest, scientific or historical research purposes or statistical purposes based on law which shall be proportionate to the aim pursued, respect the essence of the right to data protection and provide for suitable and specific measures to safeguard the fundamental rights and the interests of the data subject |[ ]

### 4.2.1 [Schedule 1, Part 1 conditions](http://www.legislation.gov.uk/ukpga/2018/12/schedule/1/enacted)

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| As required by [section 10 of the DPA](http://www.legislation.gov.uk/ukpga/2018/12/section/10/enacted), the processing meets the requirement in [point (b), (h), (i) or (j) of Article 9(2) of the GDPR](https://gdpr-info.eu/art-9-gdpr/) for authorisation by, or a basis in, the law of the United Kingdom or a part of the United Kingdom only if it meets a condition in Part 1 of Schedule 1.If your project is relying on (b), (h), (i) or (j) of Article 9(2) of the GDPR, please state which condition in DPA 2018 Schedule 1, Part 1 your project meets.  |
| Click or tap here to enter text. |

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| If your project is relying on (j) of Article 9(2) of the GDPR and DPA 2018 Schedule 1, Part 1 (4) “Research”, please state whether it’s for archiving purposes, scientific or historical research purposes or statistical purposes and provide evidence on how your processing meets this condition (in particular how your processing meets Article 89(1) of the GDPR) and why you believe this is in the public interest.  |
| Click or tap here to enter text. |

### 4.2.2 [Schedule 1, Part 2 & 4 conditions](http://www.legislation.gov.uk/ukpga/2018/12/schedule/1/enacted)

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| As required by section 10 of the DPA, the processing meets the requirement in point (g) of Article 9(2) of the GDPR for a basis in the law of the United Kingdom or a part of the United Kingdom only if it meets a condition in Schedule 1, Part 2. If your project is relying on (g) of Article 9(2) of the GDPR, please state which condition in DPA 2018 Schedule 1, Part 2 your project meets. Please also state how your project complies with DPA 2018 Schedule 1, part 4. |
| Click or tap here to enter text. |

### 4.2.3 Further Justification

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| Further explanation for conditions for processing special categories of data (if not covered above). |
| Click or tap here to enter text. |

# Section 5: Safe Data *(this section applies to all)*

The purpose of this section is to evidence that the data you are requesting is entirely aligned to the research goals, that the sensitivity is understood, and that sensible steps to minimise the amount of individual level data accessed have been taken.

You must only request the data which is essential for your research project, in terms of coverage periods, datasets and variables being requested.

## 5.1 Data requirements

|  |  |
| --- | --- |
| **Outline any specific group or cohort of individuals that your research will focus on.**  | Click or tap here to enter text. |
| **List all dataset(s) requested and coverage period(s) required for each dataset.** *Note all datasets listed in this section must align with those referred to in section 3.2.1.* | Click or tap here to enter text. |
| **Number of individuals likely to be requested (if known)** | Click or tap here to enter text. |

**What data items/fields do you require?**

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| Please provide us with an accompanying file that lists the variables you require and a justification for each variable. We strongly advise using the relevant data catalogue to identify the variables requested and to provide a justification. The justification can be kept simple and concise but should clearly demonstrate what the variable is intended to be used for. |

**5.2.1 Sensitive data[[12]](#footnote-13)**

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| If your request for the MoJ DfE share involves sensitive data i.e., categories B (highly sensitive), C (sensitive not classed as special categories under UK GDPR) including criminal offence data or D (special categories under UK GDPR), please state your reasons here. Use the relevant data tables for the required dataset to help you understand the classifications of specific data items. |
| Click or tap here to enter text. |

## 5.2 Future Refresh of Data

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| If applying for MoJ or HMCTS data, please state whether your project requires an extract once or whether it relies on updates of the extract (e.g. every year) to reach conclusion. If we are satisfied with your reasons for refreshes of data, we may not require you to re-apply each time however we reserve the right to ask you to do so. You will be expected to be proactive in contacting us 2–3 months before new datasets are released to request a refresh of data.If your project requires ongoing future data refreshes, please describe the datasets, data variables and frequency anticipated. Please note that a successful application does not guarantee access to future data refreshes as these would be subject to data owners’ data sharing policies.[[13]](#footnote-14)  |
| Click or tap here to enter text. |

## 5.3 Data retention

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| Please provide details of how long you wish to retain access to this data and justification for this length of time. |
| Click or tap here to enter text. |

## 5.4 Safe Outputs

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| **What are your current policies on statistical disclosure control?****SDC should comply with the Government Statistical Service (GSS) Guidance on Anonymisation and Data Confidentiality (**[**https://gss.civilservice.gov.uk/policy-store/anonymisation-and-data-confidentiality/**](https://gss.civilservice.gov.uk/policy-store/anonymisation-and-data-confidentiality/)**). All outputs must also comply with the Data Protection Act 2018 (DPA) and UK General Data Protection Regulation (GDPR).****A minimum cell count of 10 shall apply unless permission is granted, this is on a case by case basis[[14]](#footnote-15)** |
| Click or tap here to enter text. |

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| **How do you plan to ensure no sensitive data is released?** |
| Click or tap here to enter text. |

# Section 6: Data Linking and Matching

The purpose of this section is to gather further details on projects which plan to link or match the data they are seeking access to, to any other data. This applies to applicants requesting linking and retrieval of data using personal identifiers e.g. PNC data and those intending to link information to the data requested through other means (e.g. by school or region). *(If you are not planning on data linking, please move onto the next section).*

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| What data do you want to link? |
| Click or tap here to enter text. |

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| How do you propose to link the data? |
| Click or tap here to enter text. |

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| Why does your project require data linking?  |
| Click or tap here to enter text. |

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| What is the impact of your project if you are not able to link data? |
| Click or tap here to enter text. |

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| On what grounds is the linking permissible? If you are linking to individuals, do you have explicit consent to link to these individuals? (*if so, please provide a copy of the consent used)*  |
| Click or tap here to enter text. |

# Section 7: HMCTS data

The purpose of this section is to gather further details on applicants applying specifically for data held by HMCTS (such as magistrates’ courts data) or primary research drawing on HMCTS sources *(if you are not applying for data held by HMCTS, please move onto the next section).*

## 7.1 Further project details

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| **What jurisdiction does your research/data collection cover?** | [ ]  Crime[ ]  Civil[ ]  Family[ ]  Tribunals |
| **What data are you seeking access to? (tick all that apply, if you are applying for primary data collection, please also fill in section 10)** | [ ]  Administrative data such as data from family courtsOr primary data collection:[ ]  Interviews[ ]  Focus groups[ ]  Surveys |
| **Do you have any contacts in HMCTS with whom you have discussed the value or feasibility of this research? If so, can you please provide details.**  | Click or tap here to enter text. |

# Section 8: HMCTS primary data collection

The purpose of this section is to gather further details on applicants applying for primary data collection drawing on HMCTS sources *(if you are not planning to carry out any data collection, please move onto the next section).*

## 8.1 Primary data collection method

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| --- | --- |
| **What collection method/s do you propose to use? For example:** * **Interviews or focus groups**
* **Survey**
* **Other**
 | Click or tap here to enter text. |

|  |  |
| --- | --- |
| **If interviews or questionnaires are included, please specify who you are intending to include:** **If the proposed activity only involves the judiciary or if your request or part of your request is to interview or hold focus groups with them, no data access application is required but contact should be made to the Judicial Office at** **researchrequest@judiciary.uk** | [ ]  HMCTS staff[ ]  HMCTS legal staff[ ]  Court/Tribunal users |

If your research includes interviews or focus groups with HMCTS staff, please supply in advance, an outline of the areas under discussion and the proposed questions. If you are seeking responses to a questionnaire, then please supply a copy.

|  |  |
| --- | --- |
| **Are 'protected characteristics' data under the Equalities Act 2010 to be collected? (e.g. age, disability, gender reassignment, marriage & civil partnership, race, religion or belief, sex, sexual orientation).** | [ ]  Yes[ ]  No |

|  |  |
| --- | --- |
| **If Yes, please state:**  | [ ]  Age[ ]  Disability[ ]  Gender Reassignment[ ]  Marriage and civil partnerships[ ]  Race[ ]  Religion[ ]  Sex (Gender)[ ]  Sexual Orientation [ ]  Other (please state below) |

|  |
| --- |
| **Other 'protected characteristics’** |
| Click or tap here to enter text. |

## 8.2 Impact assessment

Please indicate the number of locations in each business area affected.

| Business area | Number of location(s) to be visited/affected. |
| --- | --- |
|
| Crown Court | Click or tap here to enter text. |
| Magistrates’ courts | Click or tap here to enter text. |
| County Courts | Click or tap here to enter text. |
| Family courts | Click or tap here to enter text. |
| Royal Courts of Justice | Click or tap here to enter text. |
| Tribunals  | Click or tap here to enter text. |
| Other (please specify) | Click or tap here to enter text. |

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| --- |
| **Please list the proposed court(s) and/or offices which will be contacted and affected by your activity**  |
| Click or tap here to enter text. |

|  |
| --- |
| **If ‘all’ or ‘most locations’ are proposed, please give reasons why a sample is not appropriate.****Note: if detailed low-level analyses are not required, sample surveys should be the default option.** |
| Click or tap here to enter text. |

# Section 9: Accessing data through your own secure setting

The purpose of this section is to gather further details on applicants applying to access the requested data through their own secure setting via a data share agreement *(if you are not accessing data through you own secure setting, please move onto the next section)[[15]](#footnote-16).*

## 9.1 Secure settings

|  |
| --- |
| **How will the data be transferred between organisations?** |
| Click or tap here to enter text. |

|  |
| --- |
| **How will the data be stored?** *Please provide details on:** *If the data will be stored on a cloud-based system?*
* *Is the system certified at ISO 27001?*
* *Do you hold Cyber Essentials plus?*
* *Will the data be encrypted at rest and in transit?*
* *Can the area where the data will be housed be restricted to certain individuals?*
 |
| Click or tap here to enter text. |

|  |
| --- |
| **How will the security of the data be maintained?** |
| Click or tap here to enter text. |

|  |
| --- |
| **What is your policy around incident reporting?** |
| Click or tap here to enter text. |

|  |
| --- |
| **Please confirm that you are familiar and compliant with the HMG security policy framework (and include any relevant supporting information not covered by the above)** |
| Click or tap here to enter text. |

|  |
| --- |
| **How will the data be destroyed?** |
| Click or tap here to enter text. |

|  |
| --- |
| **Research using different datasets relies upon different pieces of legislation. Which legal gateway are you using to get access to the data?** |
| Click or tap here to enter text. |

# Section 10: Accessing data through ONS Secure Research Service

The purpose of this section is to gather further details on applicants applying to access the requested data through the ONS SRS *(if you are not accessing data through ONS SRS, please move onto the next section)*

## 10.1 Criteria met

|  |  |
| --- | --- |
| **Are you a ONS accredited user?**  | [ ]  Yes[ ]  No |
| **If you are not an ONS accredited user, do you plan to apply whilst your request for data is being reviewed?** | [ ]  Yes[ ]  No |
| **It is an expectation that you intend to publish the findings of your research. Please confirm you agree to this.**  | [ ]  Agree[ ]  Disagree |

## 10.2 Research Accreditation

|  |  |
| --- | --- |
| **What is your Project Accreditation Service for SRS (PASS) Project Number (if known)?[[16]](#footnote-17)** | Click or tap here to enter text. |

In order to access the data, a researcher must have passed the ONS accreditation process.

Please insert contact details for each individual/researcher who requires access to the data for the project and make clear who is the Lead Contact.

\* add extra rows as necessary

| Name (Lead Researcher and other researchers) \* | Contact email | Institution/ Organisation  | ONS Accredited User (Y/N)(if yes, please include accredited research number) |
| --- | --- | --- | --- |
| Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
| Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |

If anyone on your project needs to undertake the [accreditation process](https://www.ons.gov.uk/aboutus/whatwedo/statistics/requestingstatistics/approvedresearcherscheme), they should contact accredited.researcher.support@ons.gov.uk as soon as possible. Whilst a project can continue without all individuals/researchers approved, only those researchers with accreditation will be allowed access to the data.

## 10.3 Safe outputs: File Format

Once research has concluded, you should be aware that:

1. All outputs will be checked by the ONS checking service. Outputs will be checked against the Intended Permitted Outputs and be subject to standard ONS disclosure rules.
2. It is an expectation of using the SRS that you intend to publish the findings of your research.

|  |
| --- |
| What is your preferred file format for any data extracts that you may receive? If your intention is to perform your analysis in a SQL database please indicate whether a database creation script (in Microsoft SQL Server format) should also be provided.(Please insert X against your preference). Please note that some data sources may not be available in some file formats. |
| **SPSS[[17]](#footnote-18)** | [ ]  |
| **Tab-delimited text file** | [ ]  |
| **CSV** | [ ]  |
| **Excel[[18]](#footnote-19)**  | [ ]  |
| **SQL database (together with SQL schemas)** | [ ]  |

## 10.4 Software

|  |
| --- |
| The ONS SRS is able to provide access to a range of software packages, available [here](https://www.ons.gov.uk/aboutus/whatwedo/statistics/requestingstatistics/approvedresearcherscheme#software). Please list the software you would like to use below. |
| Click or tap here to enter text. |

# Check and Send

Prior to returning this form, please check the following:

|  |  |  |  |
| --- | --- | --- | --- |
| Section | Action | Done? | N/A |
| Data access requirements | You have selected what data and how you would like to access the data | [ ]  | [ ]  |
| If you already hold any data from the Police National Computer, or are planning to request this data from the Home Office, you have provided us with details of this | [ ]  | [ ]  |
| Applicant details | Primary and Secondary names and email addresses have been included | [ ]  | [ ]  |
| ICO number (or exemption evidence) included with the application | [ ]  | [ ]  |
| You have detailed any relationship with other organisations  | [ ]  | [ ]  |
| You have provided us with the key skills of your team | [ ]  | [ ]  |
| Project details | You have provided the full title of the research project | [ ]  | [ ]  |
| You have entered the brief purpose using plain English and are aware that is what may be placed onto gov.uk. | [ ]  | [ ]  |
| You have described the work in greater detail including the intended outputs and the timeline of your research / project | [ ]  | [ ]  |
| You have provided us with any contacts in MoJ whom you have discussed the value or feasibility of this research and have provided us details of whether you have engaged with the National Research Committee about accessing data held by HMPPS | [ ]  | [ ]  |
| You have provided any evidence of prior ethical approval and have outlined the ethical considerations relevant to your project.  | [ ]  | [ ]  |
| You have provided an overview of work undertaken to consider public views on your research area to ensure your proposal is acceptable to the public and have also provided evidence of public acceptability considerations | [ ]  | [ ]  |
| You have described the main limitations and risks of your project  | [ ]  | [ ]  |
| GDPR | You have carefully considered, and selected, the conditions of processing that you wish to use for your research / project | [ ]  | [ ]  |
| If relevant, you have provided sufficient evidence around the use of consent | [ ]  | [ ]  |
| Safe Data | You have described what dataset you require access to and the coverage period you require | [ ]  | [ ]  |
| You have completed a document for the variables for your work | [ ]  | [ ]  |
| You have provided a justification for requesting sensitive data from the MoJ-DfE share  | [ ]  | [ ]  |
| You have inserted a realistic, justifiable data retention period | [ ]  | [ ]  |
| You have described your statistical disclosure control policies | [ ]  | [ ]  |
| Data Linking | If you are linking data, you have described what data you plan to link and why you require data linking and if you have explicit consent  | [ ]  | [ ]  |

If you are applying for access to data held by **HMCTS or HMCTS Data First data**, we recommend that you also check the following:

|  |  |  |  |
| --- | --- | --- | --- |
| Section | Action | Done? | N/A |
| HMCTS data | You have selected the jurisdiction your research/data collection covers  | [ ]  | [ ]  |
| You have described what data you are seeking access to  | [ ]  | [ ]  |
| You have provided us with any contacts in HMCTS whom you have discussed the value or feasibility of this research | [ ]  | [ ]  |

If you are applying for access by **primary data collection** drawing on **HMCTS** sources, we recommend that you also check the following:

|  |  |  |  |
| --- | --- | --- | --- |
| Section | Action | Done? | N/A |
| HMCTS primary data collection  | You have described what collection methods you propose to use. If interviews are included, please specify who you are intending to include  | [ ]  | [ ]  |
| You have described whether protected characteristics are to be collected | [ ]  | [ ]  |
| If you require access to documents or other records held by HMCTS which are not available to the public, you have provided details on those that you require  | [ ]  | [ ]  |
| You have provided details for the impact assessment  | [ ]  | [ ]  |

If you are applying for access to data through **your own secure setting**, we recommend that you also check the following:

|  |  |  |  |
| --- | --- | --- | --- |
| Section | Action | Done? | N/A |
| Secure setting | You have described how you plan to transfer data between organisations | [ ]  | [ ]  |
| You have described how you plan to store and secure the data  | [ ]  | [ ]  |
| You have confirmed you are familiar and compliant with the HMG security policy framework  | [ ]  | [ ]  |
| You have described how the data will be destroyed  | [ ]  | [ ]  |
| You have described what legal gateway you are using to access the data  | [ ]  | [ ]  |

If you are applying for access to data through **ONS Secure Research Service,** we recommend that you also check the following:

|  |  |  |  |
| --- | --- | --- | --- |
| Section | Action | Done? | N/A |
| ONS SRS  | You have checked you meet the criteria  | [ ]  | [ ]  |
| You have provided contact details and accreditation information for all researchers requiring access to the data | [ ]  | [ ]  |
| You have selected your preferred file format and software | [ ]  | [ ]  |
| You are aware of the ONS suppression policy and output checking policy. | [ ]  | [ ]  |

# Declaration

The information contained in this Application Form is true, correct and complete. I understand that any misrepresentation or incorrect information around the organisation’s data protection obligations may lead to a delay in access to data, may invalidate my request an ultimately could lead to necessary action relating to non-compliance of data protection legislation.

|  |  |
| --- | --- |
| Name | Click or tap here to enter text. |
| **Organisation address** | Click or tap here to enter text. |
| **Dated** | Click or tap here to enter text. |

**Thank you. Now please submit your form to:**

datalinkingteam@justice.gov.uk for MoJ held data

dataaccesspanel@justice.gov.uk for HMCTS held data or primary research in HMCTS

datafirst@justice.gov.uk for HMPPS and HMCTS MoJ Data First datasets

data.sharing@education.gov.uk and datalinkingteam@justice.gov.uk for the MoJ-DfE share



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Any enquiries regarding this publication should be sent to us at datalinkingteam@justice.gov.uk

1. MoJ Data First magistrates’ courts defendant dataset, MoJ Data First Crown Court defendant dataset, MoJ Data First Criminal Court Linked dataset, MoJ Data First family court dataset, and the MoJ Data First civil court dataset [↑](#footnote-ref-2)
2. MoJ Data First Cross Justice System Linked Dataset, MoJ Data First prisoner custodial journey dataset, MoJ Data First probation dataset, and MoJ Data First offender assessment dataset. [↑](#footnote-ref-3)
3. Secondary data access to HMCTS held data outside of the Data First Programme and HMCTS primary data collection [↑](#footnote-ref-4)
4. MoJ Data First magistrates’ courts defendant dataset, MoJ Data First Crown Court defendant dataset, MoJ Data First Criminal Court Linked dataset, MoJ Data First family court dataset, and the MoJ Data First civil court dataset [↑](#footnote-ref-5)
5. MoJ Data First Cross Justice System Linked Dataset, MoJ Data First prisoner custodial journey dataset, MoJ Data First probation dataset, and the MoJ Offender Assessment Dataset. [↑](#footnote-ref-6)
6. For HMCTS Data First data, HMPPS Data First Data and the MoJ-DfE share only. [↑](#footnote-ref-7)
7. For MoJ held data and HMCTS held data outside of the Data First Programme only. [↑](#footnote-ref-8)
8. For HMCTS primary data collection only. [↑](#footnote-ref-9)
9. If applying for access to the MoJ-DfE share, please keep your title to 10 words maximum. If applying to access any other data, there is no word limit for the title of the project. [↑](#footnote-ref-10)
10. This includes intention to publish in journals with restricted access (e.g. behind a paywall). If this is the only chargeable output intended, please outline this below. [↑](#footnote-ref-11)
11. If applying for access to the MoJ-DfE share, please provide either ethics approval from your research ethics panel or if this is not applicable, complete a UK Statistics Authority Data Ethics self-assessment, available [here](https://view.officeapps.live.com/op/view.aspx?src=https%3A%2F%2Fuksa.statisticsauthority.gov.uk%2Fwp-content%2Fuploads%2F2021%2F04%2F2022_Self-Assessment_sheet_V3.0.xlsx&wdOrigin=BROWSELINK). This is a requirement for DfE applications. If applying for access to Data First, HMCTS or MoJ held data, we welcome the completion of a UK Statistics Authority Data Ethics self-assessment form. However, this is not mandatory, and your application will still be considered without it. [↑](#footnote-ref-12)
12. This question is only for those who are requesting access to the MoJ-DfE share. [↑](#footnote-ref-13)
13. Please note, if you are requesting access to the MoJ-DfE share you must submit a new application for each request. Previous data access must be deleted in line with data retention policies. [↑](#footnote-ref-14)
14. For MoJ DfE data shares researchers must comply with the [Statistical Disclosure Control Policy](https://assets.publishing.service.gov.uk/media/660d8798758315001a4a49d2/DfE_ONS_statistical_disclosure_control_policy.pdf) [↑](#footnote-ref-15)
15. Data First data and the MoJ-DfE share are not available to access through your own secure setting. [↑](#footnote-ref-16)
16. This question is not applicable if you are applying to access the MoJ DfE share [↑](#footnote-ref-17)
17. Not available for MoJ-DfE data share [↑](#footnote-ref-18)
18. Not available for MoJ-DfE data share [↑](#footnote-ref-19)