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SLS UNDERTAKING FORM

The Longitudinal Studies Centre - Scotland (LSCS) is a Scottish centre of excellence in the creation and use of longitudinal data. It is responsible for the Scottish Longitudinal Study (SLS).

As indicated on the SLS-DSU website (<http://sls.lscs.ac.uk/guides-resources/step-bystep-guide-to-accessing-sls-data-1/>) there are a number of steps involved in accessing SLS data. The completion of this form is step five.

**Your Privacy**

The information you provide on this form will be treated in the strictest confidence. An electronic copy of this form will be securely stored with NRS and the SLS-DSU. For further information on how your data is used, see below or visit our website:

<https://www.nrscotland.gov.uk/record-keeping/legislation/primary-information-legislation/data-protection>

<https://sls.lscs.ac.uk/more/privacy-statement/>

**Data handling of this SLS Undertaking Form**

In addition to staff emails, an electronic copy is held in your project folders (including for business needs such as on the SLS-DSU secure SharePoint site and SLS Trello space with access permitted only to SLS-DSU staff). A copy is also stored in the Project Log on the non-internet connected SLS network with restricted access to key members of SLS staff. A further copy is stored by NRS on their secure server. Once the SLS-DSU moves into the EPCC Safe Haven Services a copy may also be saved within the secure project folders.

**Please check the box to confirm you have read our privacy statement and agree to our managing your personal data as described above and in the privacy statement on the SLS website**

**Application details**

***Study title:***

***SLS study number***(provided by your Support Officer)

## Head of proposed study

|  |  |
| --- | --- |
| Title: | Name: |
| Position: | |
| Organisation: | |
| Address: | |
| Telephone: | |
| Email: | |

**Undertaking**

**Disclosure of information on individuals**

I will not attempt to identify individuals, households or organisations in the SLS data, nor will I claim to have obtained or derived such information. No output from the SLS (papers, conference presentations etc) should suggest that individuals, households or organisations can be identified. I will not allow any output supplied to me to be used by people outside the project without the written permission of the SLS Research Board.

**Details of study and study collaborators**

I understand that, if my application is accepted, information on the project and project staff will be published on the Scottish Longitudinal Study website (project title, project number, researchers’ names and institution, project start date, summary, references and any outputs relating to the project).

The information you provide will be securely stored electronically and held by the SLS-DSU (as described in the Privacy Statement above and as described on the SLS Website). This includes contact details of project staff for the purpose of administering your project and held as a SLS researchers’ mailing list (on a secure University of Edinburgh mailing list system) for emails with information on SLS-DSU matters, which may affect you. This contact will be in the format of a SLS researchers group email (email addresses of recipients are not visible). Our newsletters will be emailed between 3-5 times per year.

**Use of newly derived variables**

I understand that variables derived in the course of preparing data may be added to the SLS data files and made available to other users.

**Clearance of output**

***Stage 1 Pre-publication outputs***

I understand that any stage 1 pre-publication output – ie those emailed in an encrypted format - may **only** be shared with people who have signed the SLS undertaking form and have up to date information governance (IG) training (e.g. ONS SRT).

***Stage 2 Publication outputs***

A draft version of any outputs arising from research using SLS data must be cleared by the National Records of Scotland (NRS) SLS Project Manager before submission for publication. This includes all forms of output, e.g., working papers, journal articles, conference presentations, seminars and theses. Twenty days notice is required for clearance in all cases. All outputs must acknowledge the support of the LSCS using the standard acknowledgement which can be found on the website.[[1]](#footnote-1)  Abstracts/papers should be sent to the SLS NRS Project Manager, cc your SLS Support Officer.

I understand that it is my responsibility to submit all outputs for clearance by the NRS SLS Manager prior to submission for publication.

**Retention of tables**

If requested to do so by the SLS Research Board, I will destroy all copies of SLS data (stage 1 pre-publication outputs and synthetic datasets) supplied to me and any unpublished derived data and inform the SLS-DSU staff.

**Ethical issues**

We encourage all applicants to assess whether there are ethical issues involved with the research that is planned. Although the data you will be using are anonymous, some of the variables that we hold are sensitive. If you have any concerns about ethical issues associated with your research, we strongly encourage you to consult with an appropriate ethical committee before making an application.

I understand that it is my responsibility to consider ethical issues before and during my research.

**Project Changes**

I will seek the agreement of the NRS SLS Project Manager via a project extension form, for any changes to my original application (such as adding variables, adding a researcher, change of research question, adding someone to the team or extending the end date).

By signing this form you confirm that you have read and agree to the conditions above relating to the use and publication of SLS data, and recognise that any breach of confidentiality may result in suspension of access to these data or the sanctions detailed in the annex.

**Please list all existing team members and indicate if they will work directly with the SLS data in the SLS Safe Setting. Include their dates of information governance training if they will access the SLS data at the Safe Setting or if they will view SLS Stage (1) Pre-publication Output (Intermediate outputs). IG training is not required for those on the project who will not see any Stage (1) Pre-publication Output or review/edit publication drafts (ie they will only view Stage (2) Publication Output (Final outputs)).**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Name of Team Member** | **Will access SLS data (tick)** | **Type of IG Training (MRC/SRT..)** | **Date passed** | **Signature** |
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Please read the Annex on the next page, detailing sanctions for breaches of this undertaking.

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**Annex to the SLS Undertaking Form**

**Sanctions to be applied in the case of breach of the conditions of the undertaking**

**Immediate sanctions to be applied in the case of breach**

**of the conditions of the undertaking**

All users of the Scottish Longitudinal Study (SLS) who have signed the SLS Undertaking Form must report any breach of the conditions of the Undertaking promptly to the NRS SLS Project Manager. Failure to do so is a fundamental breach of the terms and conditions of the Undertaking. It should be noted that in signing the Undertaking, individuals (and their institutions), are agreeing to the terms of the Census Act (1920), the Statistics Act (1938) and current Data Protection and Freedom of Information legislation.

The following sanctions may be applied:

Step 1: For a first offence, depending on the seriousness, the penalty should be a minimum 1 month discretionary suspension from access to any SLS or NRS data applicable to the individual(s) in question. It would (i) generate a written warning to that individual’s institution of employment and (ii) require ONS SRT training to be redone. A more serious breach will be handled as a Step 2 breach. Subsequent offences would be escalated to Step 3.

Step 2: For a second offence, the penalty should be a minimum 12 month discretionary suspension from access to any SLS or NRS data applicable to the individual(s) in question. This would also be applicable to other researchers named on the SLS project. Again, it would generate a written warning to that individual’s institution of employment.

Step 3: An individual’s further breach would, as a minimum, result in a suspension of access of 2 to 5 years, or permanently, for the individual and would generate a written warning from the Responsible Statistician (the Registrar General for Scotland).

Or where the breach is the result of an institution’s wilful or negligent action, then a minimum penalty of a 12 month non-discretionary suspension shall apply to the relevant department within the institution. Repeated breaches will result in a letter from the Responsible Statistician with discretionary penalties to the institution as a whole, including suspension of all SLS and NRS data access facilities for all the institutions staff.

Please also refer to the NRS 2022 Census Confidentiality Undertaking (CCU) which you signed and emailed to the NRS SLS PM at the start of your project.

Further information on how NRS protects the confidentiality of census data is available from: [www.scotlandscensus.gov.uk/confidentiality](http://www.scotlandscensus.gov.uk/confidentiality) and [www.scotlandscensus.gov.uk/Privacy-2021](http://www.scotlandscensus.gov.uk/Privacy-2021)

1. [*http://sls.lscs.ac.uk/guides-resources/step-bystep-guide-to-accessing-sls-data-1/*](http://sls.lscs.ac.uk/guides-resources/step-bystep-guide-to-accessing-sls-data-1/) [↑](#footnote-ref-1)