

---

# Table of Contents

## Frontmatter

Cover	1.1
About the author	1.2
Acknowledgements	1.3
Executive Summary	1.4

## 1. Introduction

About this report	2.1
How the report can help	2.2
Methodology	2.3
Report Structure	2.4

## 2. The UK Benefits System: background

Introduction	3.1
2.1 Data on ESA Benefit Decisions	3.2
2.2 Data on PIP Benefit Decisions	3.3
2.3 Other Data Sources	3.4
2.4 Examples of Research	3.5

## 3. Next Steps

Where to go from here	4.1
-----------------------	-----

## References

References	5.1
------------	-----

---

# Menu

<a href="#">Return to book</a>	6.1
<a href="#">Review this book</a>	6.2
<a href="#">Contribute!</a>	6.3

---

# Data Sources for Administrative Justice research

Supported by:



One of the main priorities of the work of the UK Administrative Justice Institute's work has been to identify and develop strategies to tackle capacity constraints within administrative justice research in the UK. Integral to this has been improving the knowledge and availability of information on administrative justice to researchers and other stakeholders. As part of that area of activity, this preliminary scoping study aims to identify data sources relevant to administrative justice.

The report includes a snapshot of data sources available and how it is collected, stored and made available, with some recommendations of how these sources might fulfil researchers' data analysis and linkage needs. It focuses on data sources on social security and some welfare benefits and administrative decisions around them, including sanctions and appeals as well as complaints from in the UK, mostly available from central government departments in England, N. Ireland, Scotland and Wales. This does not aim to be a comprehensive overview of the UK benefits system or the UK tribunals system – there are plenty of comprehensive resources available (some of which are referenced in this report) that readers can refer to for this purpose. Rather, the report aims to present some pointers for administrative data already recorded by government departments that could be used as secondary data solely or in addition to primary data collected by researchers.

We also hope that the report will function as a reference resource for researchers in the field of administrative justice to help identify where to look for relevant data and what elements to take under consideration when using such data for research.

## Overview

[Acknowledgements](#) and [Executive Summary](#)

## 1. Introduction

Read more [about this report](#), [how the report can help](#) you as a researcher, more about the [methodology](#) that was followed, and finally the [report structure](#)

## 2. The UK Benefits System: background

A (very!) brief [introduction](#) into the UK social security and welfare benefits. We continue by having a closer look at related [data on ESA Benefit Decisions](#) and [PIP Benefit Decisions](#).

We also list [other data sources](#) and provide some [examples of research with tribunals data](#).

## 3. Next Steps

Finally we summarise our observations up to now and make recommendations to researchers on [where to go from here](#).

A list of [references](#) is also provided.



# Acknowledgements

This report was developed by Dr Kasia Chatsiou, University of Essex, with contributions from the UKAJI researchers and community. For further information or if you would like to contribute to the resource, please contact [Kasia](#) or [UKAJI](#).

Acknowledgements: This report was funded by Nuffield Foundation. I would like to thank the following for their contributions and feedback throughout the project:

- Dr Libby Bishop (UK Data Archive, University of Essex)
- Dr. Varda Bondy (Department of Law, University of Essex)
- Chris Coxon (Civil and Administrative Justice Research, Analytical Services, Ministry of Justice)
- Margaret Doyle (Department of Law, University of Essex)
- Lisa Hayes (Head of Decision Making & Appeals, Motability and ILF Legacy, Disability Employment and Support Directorate, Department for Work and Pensions)
- Prof Gráinne McKeever (Professor of Law and Social Justice | Director of Ulster University Law Clinic, University of Ulster)
- Prof Tom Mullen (Professor of Law, School of Law, University of Glasgow)
- Dr Phil Schofield (KCL)
- Prof Vania Sena (Essex Business School | Director of Big and Local Government Research Centre, University of Essex)
- Prof Maurice Sunkin (Department of Law, University of Essex)
- Prof. Robert Thomas (University of Manchester)
- Dr. David Webster (University of Glasgow)

You can cite this resource as follows:

Chatsiou, K., Bondy, V., Doyle, M., Sena, V., & Sunkin, M. (2017). *Data Sources for Administrative Justice Research: a Preliminary Scoping Report*. UK Administrative Justice Institute (UKAJI), University of Essex.

<https://doi.org/10.6084/m9.figshare.5303317.v2>

This publication is also available as a [GitBook](#), open to continuous suggestions, contributions and updates after the launch of this report.

© University of Essex and UK Administrative Justice Institute

[www.essex.ac.uk](http://www.essex.ac.uk)

[www.ukaji.org](http://www.ukaji.org)



# Executive Summary

One of the main priorities of the work of the UK Administrative Justice Institute's work has been to identify and develop strategies to tackle capacity constraints within administrative justice research in the UK. Integral to this has been improving the knowledge and availability of information on administrative justice to researchers and other stakeholders. As part of that area of activity, this preliminary scoping study aims to identify data sources relevant to administrative justice.

The report includes a snapshot of data sources available and how it is collected, stored and made available, with some recommendations of how these sources might fulfil researchers' data analysis and linkage needs. It focuses on data sources on social security and some welfare benefits and administrative decisions around them, including sanctions and appeals as well as complaints from in the UK, mostly available from central government departments in England, N. Ireland, Scotland and Wales. This does not aim to be a comprehensive overview of the UK benefits system or the UK tribunals system – there are plenty of comprehensive resources available (some of which are referenced in this report) that readers can refer to for this purpose. Rather, the report aims to present some pointers for administrative data already recorded by government departments that could be used as secondary data solely or in addition to primary data collected by researchers.

We also hope that the report will function as a reference resource for researchers in the field of administrative justice to help identify where to look for relevant data and what elements to take under consideration when using such data for research.

The report first presents an overview of the benefits system in the UK and the typical process for appealing decisions and complaining about misconduct, as reported in the literature and from governmental online sources. It then follows two social security benefits more closely and secondary data sources that researchers could use for research and the corresponding available appeal and complaint data sources, where available. The remaining data sources on benefits we could find are presented by department (see [Other Data Sources](#)). We conclude with some remarks on lessons learnt during the process of compiling this report and next steps for a more comprehensive overview of the data landscape for administrative justice research, as well as some recommendations on where and how researchers can find more information on data sources on other areas of administrative justice (such as immigration, planning, employment), which are usually included in the administrative justice process. These are key areas undergoing significant policy and legislative change, but many other areas also merit exploration of data sources held by



central and local government. The last section also includes with pointers on resources for researchers interested in working with administrative data on issues such as legal framework, ethics and consent, quality of data among others.

We hope the report will inspire researchers not only to incorporate secondary administrative data in their research but also to experiment with an area they might not have come across before. In addition, attempting to map what data can be accessed should help to identify gaps in availability of data for the domain of administrative justice and inform efforts to fill in these gaps. This publication is also available as a [GitBook](#), open to suggestions and contributions and updates after the launch of this report.

## About this report

Administrative Justice in its broader sense “covers reactions to alleged deficiencies in first instance decision-making [...]. It has at its core the administrative decisions by public authorities that affect individual citizens and the mechanisms available for the provision of redress” and it is different from “‘justice in administration’, where ‘justice’ may be in competition with other administrative criteria”<sup>1</sup>.

The UK Administrative Justice Institute was established with funding by Nuffield Foundation in 2014, with primary aims to bring together those involved in research (researchers, research users, policy makers, practitioners, and others) to stimulate empirically based research into Administrative Justice and to design an agenda for future research.

One of the main priorities of the work of the UK Administrative Justice Institute’s work has been to identify and develop strategies to tackle capacity constraints within administrative justice research in the UK. Integral to this has been improving the knowledge and availability of information on administrative justice to researchers and other stakeholders. As part of that area of activity, this preliminary scoping study aims to identify data sources relevant to administrative justice.

One of the main priorities of UKAJI’s work is to identify and develop strategies to tackle capacity constraints within administrative justice research in the UK, and in particular to improve the availability of information on administrative justice to researchers and other stakeholders<sup>2 3</sup>. This report aims to contribute to these areas of development, by delivering a preliminary scoping study to identify relevant data across the public sector and determine how these may be best collected, stored and made available, including the need for data analysis, collation and linkage.

In addition to helping deliver one of the UKAJI’s objectives, we hope that this report will act as a pool of ideas for new directions to the existing research agenda, by creating a resource for current and future researchers wishing to do empirical research using secondary data on administrative justice.

---

<sup>1</sup>. See this page for a [Definition of Administrative Justice](#), as adopted by the Nuffield Foundation. ←

<sup>2</sup>. See this document for a [summary](#). ←

<sup>3</sup>. Also from the same [summary](#) document: “In addition, UKAJI aims to improve data about those with unmet need for redress, and will work with the UK household longitudinal study Understanding Society to establish ways of capturing information on access to administrative justice relating to the population at large.” ↩

## How the report can help

Administrative Justice is linked with organisational processes of decision making as such, and hence when these change, it affects the information and the data collected.

Administrative Justice Data – very much like administrative data in general – is operational data and depends greatly on the administrative need they fulfil. Processes and information on how to access data sources is very much dependent on the government department or organisation's aims and policies. Therefore, bear in mind that information included in this report is correct at the time the report was published/shared.

The report is not an exhaustive guide to the topic of social security and welfare benefits – rather it focuses on the data sources available from central government departments around these topics and provides the researchers with an insight on how they can themselves approach the respective organisations to enquire about availability and supply of data.

We have attempted not just to outline information on data sources, but also provide pointers to issues that researchers need to consider when using secondary data for research, such as ethics, quality etc. and how and where to look for such data.

The legal landscape of pathways around administrative data is a changing one, too, with the Digital Economy Act 2017 expected to enable or broaden access where it was not possible before.

We hope that by providing an audit of available and not so available data sources, researchers will be inspired not only to incorporate such data in their research but also to experiment with an area they might not have come across before. By attempting to map the availability of data that can be accessed, it might help identify gaps in availability of data for the domain of administrative justice and inform efforts to fill in these gaps.

# Methodology

## How information was collated

Information was collected through desk research from already available information online from resources pages ([adls.ac.uk](http://adls.ac.uk), [adrn.ac.uk](http://adrn.ac.uk), [data.gov.uk](http://data.gov.uk), the [DWP tabulation tool](#) and its successor [Stat-Xplore](#), the [NI Department for Communities pages](#)).

Publicly available information in the [DWP Freedom of Information Requests](#) was also included as was information on [gov.scot](http://gov.scot), [gov.wales](http://gov.wales) and [nidirect.gov.uk](http://nidirect.gov.uk). Keywords searched for included terms such as: “*sanctions, benefits*”; *decisions; benefits; appeal(s); complaint(s); social security; welfare; tax benefits; disability; employment*. We also scanned citation repositories ([Google Scholar](#), [CiteseerX](#) and [ResearchGate](#)) for related work in the area and mentions of data sources that have been previously used in academic research.

References to the data sources were collated, and were annotated with information included in the online documentation. Where information was unclear, further clarification was requested by contacting the data controllers and data processors directly. For this report, we would like to thank the Ministry of Justice Datalab Staff, the External Data Sharing Advice Centre (EDSAC) of the Department of Work and Pensions (DWP), the HM Courts and Tribunals Service the NI Courts and Tribunals Service (aka The Appeals Service) and the Citizen’s Advice staff for their help and support throughout the compilation of this report.

## Data Access Spectrum

Data sources included in the report include those that we have been made aware that have been used for research as well as some where we know that the organisation is collecting data (for operational purposes and audit requirements) but where there is no clear pathway on how researchers can access that data for analysis.

When describing the levels of access of the various data sources, we have adopted the following classification, following the principle that access is a spectrum of options ([Desai, Ritchie, & Welpton, 2016](#)):

- *Open data sources*: data sources freely available to download on the internet, with no limitation on access (i.e. no need for registration, application or fee requirement)
- *Controlled Access Data Sources*: data sources available to access, but with some limitations to access (e.g. registration needed, involves application process, there is a fee payable)
- *Data sources without a clear pathway to access*: data sources that exist (we know that this is the case, because there is evidence that information is collected for operational

or other purposes) but there are barriers to access (e.g. illegal to make available to researchers, not enough resources to extract data, data can be extracted but of very poor quality, public perception, risk averseness, data has been deleted).

## Report Structure

Section 2 [The UK Benefits System: background](#) presents an overview of the benefits system in the UK and the typical process for appealing decisions and complaining about misconduct, as reported in the literature and from governmental online sources.

We then present in more detail data sources related to two social security benefits – the Employment and Support Allowance Benefit (section 2.1 [ESA](#)) and the Personal Independence Payments Benefit (section 2.2 [PIP](#)).

Section 2.3 ([Other Data Sources](#)) looks more closely at other secondary data sources that researchers could use for research organised by organisation/department and the corresponding appeals and complaints data sources, where available.

We conclude (section 3 [Where to go from here](#)) with some remarks on lessons learnt during the process of compiling this report and next steps for a more comprehensive overview of the data landscape for administrative justice research, as well as some recommendations on where and how researchers can find more information on data sources on other areas of administrative justice (such as immigration, planning, employment), which are usually included in the administrative justice process. These are key areas undergoing significant policy and legislative change, but many other areas also merit exploration of data sources held by central and local government. The section also includes pointers on resources for researchers interested in working with administrative data on issues such as legal framework, ethics and consent, quality of data among others.

# 1 The UK Benefits system: background

## Introduction

The UK Benefits System is a combination of assistance and insurance programme administered by central and local authorities, that providing practical help and financial support for those facing social risks including unemployment, ill health, disability, bereavement and old age <sup>4</sup>. It provides eligible individuals with additional income when their earnings are low in the case they are unemployed or looking for work, if they are bringing up children, are retired, care for someone, are ill or have a disability

The system includes a variety of social security and welfare benefits <sup>5</sup>, which are mostly common across Wales, England and Scotland, with a slight variation in some of them for claimants residing in N. Ireland (see *Table 1. Some types of social security and welfare benefits per country* for an overview).

*Table 1. Some types of social security and welfare benefits per country*

<b>Benefit</b>	<b>England</b>	<b>Wales</b>	<b>Scotland</b>	<b>N. Ireland</b>	
Free School meals	✓	✓			
Free School Lunches			✓		
'Food in Schools' policy				✓	
Care to Learn	✓				
Carer's Credit	✓	✓	✓	✓	
Child Trust Fund/Junior ISAs	✓	✓	✓	✓	
Childcare grant	✓				
Injury while serving in the armed forces	✓	✓	✓	✓	
Guardian's Allowance	✓	✓	✓	✓	
Healthy Start	✓	✓	✓	✓	
Childcare Help	✓	✓	✓	✓	
Maternity Allowance	✓	✓	✓	✓	
Access to work	✓	✓	✓		*
Disability Living Allowance	✓	✓	✓	✓	



Personal Independence Payment (PIP)	✓	✓	✓	✓	
Attendance allowance	✓	✓	✓	✓	*
Blind Person's Allowance	✓	✓	✓	✓	
Carer's Allowance	✓	✓	✓	(✓)	
Carer's Credit	✓	✓	✓	(✓)	
Disability premiums	✓	✓	✓	✓	
Disabled Students' allowances (DSAs)	✓	✓	✓	✓	
Employment and Support Allowance (ESA)	✓	✓	✓	✓	*
Incapacity benefit (superseded by ESA)	✓	✓	✓	✓	*
Income Support	✓	✓	✓	✓	
Child Benefit	✓	✓	✓	✓	
Heating and housing benefits	✓	✓	✓	✓	
Jobseeker Allowance	✓	✓	✓	✓	
Universal Credit	✓	✓	✓	✓ <sup>6</sup>	

Benefits are administered by several different organisations, depending on the country the claimant resides in. For those residing in England, Scotland and Wales, the *Department for Work and Pensions* (DWP) is responsible for most benefits related to unemployment. JobCentres Plus, the Disability and Carers Service and the Child Maintenance Service administer benefits on DWP's behalf and are the main point of contact for potentially eligible benefit applicants.

For claimants residing in Northern Ireland, most benefits are administered by the *Department for Communities* and the *Department for the Economy*. These were previously administered by the *Department for Employment and Learning*.

In England, Wales and Scotland, *local authorities* manage housing benefit, and council tax reduction schemes, whereas HM Revenue and Customs (HMRC) administers child benefit, guardian's allowance and the tax credit system. (Taylor-Gooby & Taylor, 2015).

This is a very brief overview, however. The welfare landscape is everchanging - the reforms introduced since 2010 have been wide-ranging (see (Taylor-Gooby & Taylor, 2015) for an overview of recent changes). The introduction of the Universal Credit Benefit is expected to change the data landscape drastically as well. Scotland is expected to acquire legislative control over 11 benefits after June 2017 and executive responsibility of all devolved benefits

by April 2020<sup>7</sup>. In addition to potentially introducing another variation in the types of data collected and a different set of administration and decision policies, the devolution of the powers will mean that more organisations will be involved as data controllers for data generated after that time.

In what follows we will attempt to summarise the process of decision making with regards to benefits, but in doing so, there will be a lot of nuanced details we have not included. For a full overview of the benefits system in the UK over time, see among others ([Aldridge, Kenway, MacInnes, & Parekh, 1981](#); [James, 2004](#); [Jordan, 2012](#); [Levell, May, O'Dea, & Phillips, 2009](#); [MacLeavy, 2011](#); [Murie, 1997](#); [Raco, 2009](#); [Robinson, 1998](#); [Tarr & Finn, 2012](#); [Walker & Wiseman, 2003](#)). The related [gov.uk](#), [gov.scot](#), [gov.wales](#) and [nidirect.gov.uk](#) pages are also very helpful and frequently updated and a good source of information as to the most up to date version of these processes. For more information on the impact of Universal Credit on 'passported' benefits, see the [Social Security Advisory Committee and Department for Work and Pensions' report](#) .

## 1.1 Decisions on benefits

Decisions on most social security benefit claims are made by DWP/DfC staff following a set of rules. Doubtful claims are decided by DWP/DfC staff called decision makers, who make decisions on behalf of the Secretary of State<sup>8</sup>.

Decisions about Working Tax Credit, Child Tax Credit, Child Benefit and Guardian's Allowance are made by HMRC officers.

Decisions about Housing Benefit and Council Tax Support are made by Local Authorities. Decisions about Statutory Sick Pay, Statutory Maternity Pay, Statutory Paternity Pay and Statutory Adoption Pay are made by employers.

Decisions about Armed Forces and Veterans benefits are made via the [War Pensions and Armed Forces Compensation tribunal](#).

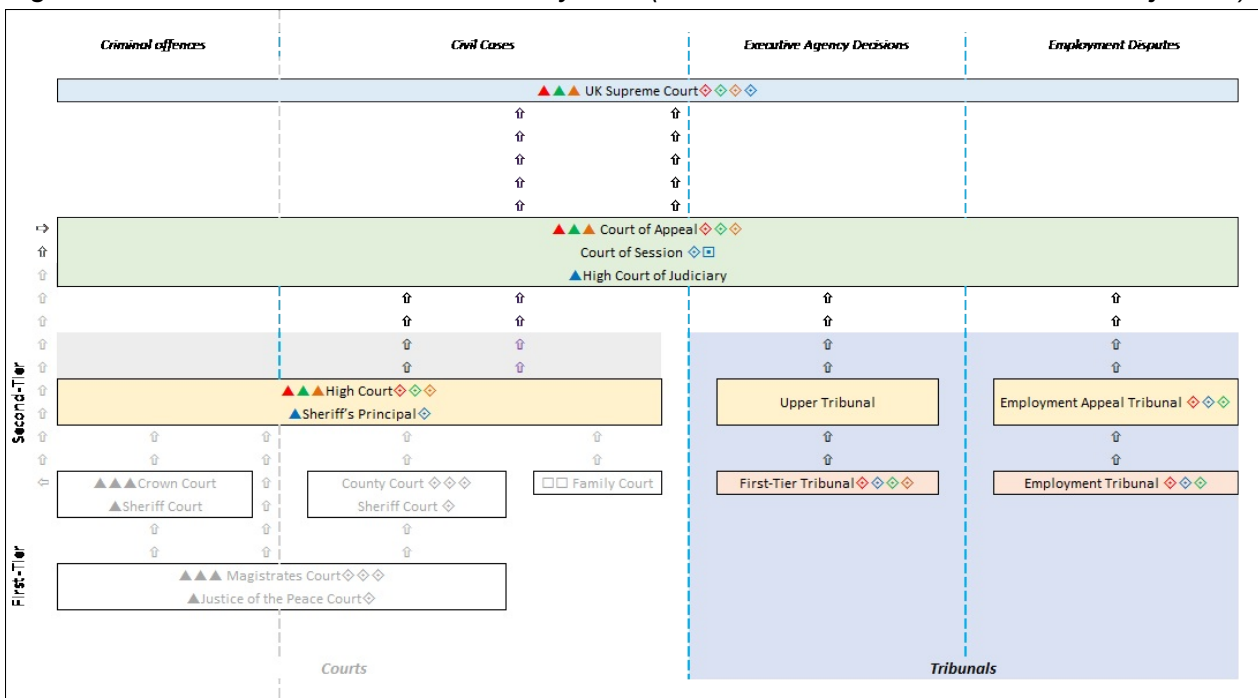
### 1.1.1 Appealing a decision

Decisions about most benefits can be appealed via the UK Tribunals System as *Executive Agency Decisions* (see [Appendix A: The UK Courts and Tribunals system](#)). Executive Agency Decisions include cases that start as appeals to decisions, usually by governmental organisations and agencies, for example appealing a decision of a government department on the benefit, tax or immigration status allocated. Decisions made by employers can be appealed at the *Employment Appeal Tribunal*.

The Tribunals, Courts and Enforcement Act came into force on 3 November 2008, creating a new two-tier Tribunal system: a First-tier Tribunal and an Upper Tribunal, both of which are split into Chambers. Each Chamber comprises similar jurisdictions and brings together similar types of experts to hear appeals. The first tier of appeal in these cases for all countries is the *First-Tier Tribunal* which considers the appeal in the first instance. If not resolved, cases can be further considered by the *Upper-Tier Tribunal* (England, Wales, Scotland, N. Ireland) and then the Court of Appeal (England, Wales, N. Ireland) or the Court of Session (Scotland).

Figure 1 highlights the parts of the system of potential interest that we will further consider in this report, which are highlighted in colour:

Figure 1. The UK Courts and Tribunals System (areas of relevance to administrative justice)



The highest possible court that can consider these decisions is the UK Supreme Court, which hears cases from all four countries. Table 2 summarises the system for these decisions:

Table 2. Overview of the tribunals system for Executive Agency Decisions

<b>UK Supreme Court (E, W, NI, S)</b>			
↑			
<b>Court of Appeal (E, W, NI) / Court of Session (S)</b>			
↑			
<b>Second-Tier Tribunal (Upper Tribunal) (E, W, NI, S)</b>			
Administrative Appeals Chamber	Tax & Chancery Chamber	Immigration and Asylum Chamber	Lands Chamber
↑	↑	↑	↑
<b>First-Tier Tribunal (E, W, NI, S)</b>			
War Pensions and Armed Forces Compensation Social entitlement Chamber Health, Education & Social Care Chamber General Regulatory Chamber	Tax Chamber	Immigration & Asylum Chamber	Property Chamber

The kind of First-Tier Tribunal and Second-Tier Division that a decision can be appealed to varies, but will overall be considered by one of the following divisions (Table 3). The first two are usually relevant to social security and welfare benefits:

Table 3. First and Second Tier Tribunal Appeals

First-Tier Tribunal		Second-Tier Tribunal (Upper Tribunal)
War Pensions and Armed Forces Compensation Social entitlement Chamber Health, Education & Social Care Chamber General Regulatory Chamber	→	Administrative Appeals Chamber
Tax Chamber	→	Tax & Chancery Chamber
Immigration & Asylum Chamber	→	Immigration and Asylum Chamber
Property Chamber	→	Lands Chamber

Below is a list of some of the individual organisations' requirements/paths when appealing their administrative decisions:

(a) *DfC/DWP & HMRC decisions*: For DfC/DWP and HMRC benefits the claimants must first ask for the decision to be reconsidered (called *mandatory reconsideration*<sup>9</sup> and only then can they appeal.

In N. Ireland, the way a claimant can dispute a decision on benefits administered by the DfC changed on 23 May 2016 (a bit later compared to the rest of the countries, which transitioned in 2013). Claimants will now need to ask the office that made the decision to

formally reconsider, before they can make an appeal – this is known as *Mandatory Reconsideration* <sup>10</sup>.

Following a Mandatory Reconsideration, claimants may appeal the decision, by sending their appeal directly to the *Appeals Service (TAS)* rather than the Social Security Office or the Jobs and Benefits Office that made the decision. This process is referred to as *Direct Lodgement*.

Before May 2016, decisions can be appealed via the *Appeals Service*, who will send the appeal to an *Independent Tribunal* <sup>11</sup>.

(b) *Local Authority Decisions*: Local authority benefits can be reviewed by the local authority and/or appealed at the related First-Tier Tribunal.

(c) *Employer benefit decisions*: Employer benefit disputes are dealt with by HMRC and can be further appealed at an Employment Tribunal.

(d) *War Pensions and Armed Forces Compensation Decisions*: In England, Scotland and Wales, claimants can appeal to the first-tier Tribunal (War Pensions and Armed Forces Compensation Chamber) if they disagree with a decision about their war pension, benefits or compensation. Appeals should be applied for within 1 year of receiving the decision letter. The tribunal will decide whether the injury was caused or made worse by serving in the armed forces. If it was, it can then make decisions about:

- Claimant's entitlement to a pension or compensation
- how much pension you get
- your entitlement to extra allowances, e.g. for mobility needs
- pension start dates
- withheld pensions

The tribunal deals with appeals for the 2 pension schemes currently running, which are:

- the War Pensions Scheme - for injuries caused or made worse by service before 6 April 2005
- the Armed Forces Compensation Scheme - for injuries caused by service from 6 April 2005 onwards

To appeal, claimants write a letter to Veterans UK <sup>12</sup> requesting that they reconsider their decision, providing any further information and explanations. Veterans UK consider the request and respond with their decision. If the claimant thinks this does not address their concerns, they can escalate their request to the Upper Tribunal (Administrative Appeals Chamber) across the UK. Forms and further documentation is available via the [Veterans UK website](#).

In N. Ireland, claimants can appeal to the [Pensions Appeal Tribunal](#), which has been hearing appeals from ex-servicemen or women who have had their claims for a War Pension rejected by the Secretary of State for Defence since the War Pensions Act 1919. Its jurisdiction covers N. Ireland only and is independent from Veterans UK.

## Complaints

(a) *DWP*: If a claimant is not satisfied with the outcome of the appeal of one of the DWP agencies (in particular: JobCentre Plus, the Disability and Carers' Service, the Pension Service, Debt Management, Financial Assistance Scheme, Child Support Agency and Independent Living Fund), they can lodge a complaint through the office they have been dealing with, this is reviewed by a Case Manager. If they remain unhappy, they can escalate their complaint to the *Independent Case Examiner*.

You need to have received a letter from the DWP agency mentioning that this is their 'final response' and need to submit the complaint within 6 months of getting the final response. In any case, any legal costs will need to be paid by the claimant.

If this complaint is not upheld the claimant can complain to the [Parliamentary and Health Service Ombudsman](#).

(b) *Department for Communities (NI)*: There are two separate approaches for [handling complaints within the DfC](#):

The first is for business areas where the complainant is unhappy with a decision or service provided by the Department. These complaints do not normally involve services which are provided to individual customers. Initially, complaints can be addressed to the department directly and if not satisfied, complainants can ask for re-examination by the Director and escalate this further to the *Northern Ireland Public Services Ombudsman*.

The second approach is for business areas where the complainant is unhappy with a decision or service provided by the Department. These complaints involve services which are provided to individual customers. Initially, complainants need to write to the office that has made the decision directly. If the complaint is still unresolved, the complainant can ask for the complaint to be re-examined and if needed further escalate it to the *Case Examiner*.

(c) *Local Authority Decisions*: Complaints are usually directed to the office and then the local authority that made the decision about the benefits in the first instance. Each local Authority usually publishes this on their webpages with additional information on the process and the forms that need to be filled in. If complaint is still unresolved, the case can be submitted to an Ombudsman.

(d) *Employer benefit decisions*: In the first instance, complaints are dealt with by the employer, following their complaints procedure. This is not always published online. If the complaint remains unresolved, the case can be escalated to an Ombudsman.

(e) *War Pensions and Armed Forces Compensation Decisions*: Complaints about benefits and sanctions, are usually made by contacting the [Veteran's Chain of Command or the HIVEs](#) in the first instance. If unresolved, a complaint can be escalated to the *Service Personnel and Veterans Agency (SPVA)*<sup>30</sup> or if it remains unresolved to an Ombudsman.

## Benefits explored in this report

To demonstrate the potential of using administrative data for empirical research in the field of administrative Justice, we will be presenting a detailed overview of two social security benefits: the *Employment Allowance Support Benefit* and the *Personal Independent Payment Benefit* and the related data sources around decisions, appeals and complaints.

For each benefit, we provide some information about the benefit and how it is being administered. We also present an overview of the main decision points and opportunities for appeal, as per the current guidance available in the gov.uk pages for this benefit. For each of these steps in the process, we provide an overview of the data that is recorded, and where published links to the source available. In addition to the decision, sanction, appeal or complaint data, we also provide information on data sources that could be used to create a baseline for analysis.

Table 4, presents an overview of the data available for the different types of baseline data, appeals and tribunals data and complaints data with a brief comment of their data and metadata quality.

*Table 4. Overview of Data Availability for Benefits*

<b>Benefit</b>	<b>baseline data (decisions)</b>	<b>baseline data (sanctions)</b>	<b>appeals and tribunals data</b>	<b>complaints data</b>
ESA	available, good quality	available, ok quality	available, good quality	available, ok quality
PIP	available, good quality	not applicable for this benefit	available, good quality	data not available

<sup>4</sup>. Prof. Gríáinne McKeever, pc. [↔](#)



<sup>5</sup>. By *benefits* here, we mean mainly social security benefits (i.e. mainly benefits administered by the Department for Work and Pensions in England, Scotland and Wales, and the Department for Communities in N. Ireland) although some discussion and resources on other types of welfare benefits are included (such as those administered by Local Authorities and HMRC – for example tax credits). ↩

<sup>6</sup>. Universal Credit will not apply in N. Ireland until Sept 2017. ↩

<sup>7</sup>. See this [Guardian article](#) for more. ↩

<sup>8</sup>. **Delays in decision making:** There are target times for making decisions on benefit claims but these are not always met. If the claimants have claimed a benefit and not received a decision, they may want to contact the DWP, HMRC or local authority to find out the reason for the delay. If they say they have not received the claim, send them a copy or fill out another form explaining when and how the first form was sent. Ask for the claim to be backdated so that they do not lose out on benefit the claimants were entitled to. ↩

If there is a long delay in making a decision on the claim they can:

- make a complaint about the delay
- request advance or interim payments
- see if there is another benefit they can claim
- contact their local authority to see if they can receive help from the local welfare provision scheme, or in Wales the national Discretionary Assistance Fund

<sup>9</sup>. **Mandatory reconsiderations:** For DWP benefits, if the claimants disagree with a decision on any ground, they can ask for a revision within one month of the date of the original decision. For HMRC benefits, the claimants must ask for the revision within 30 days of the date of the decision. The claimants have to take this step, known as a 'mandatory reconsideration', before they can appeal. It is important to act within the time limits or they could lose arrears of benefit or find that they cannot challenge the decision at all. A mandatory reconsideration can be requested over the telephone, but the claimants should confirm their request in writing. ↩

Claimants should explain why they think the decision is wrong and send any extra evidence they may have. If this cannot be sent straight away they can be given one month to send extra evidence and this time limit can be extended at the decision maker's discretion. If the decision letter does not include reasons for the decision that has been made, the claimants can ask for a 'written statement of reasons'. The claimants must do this within one month of the date of the decision.



If the claimants ask for the written statement and it is provided within that time, the dispute period is extended by 14 days; if it is provided afterwards, the dispute period is extended to 14 days from the date it is provided. Unfortunately, the claimants cannot always tell from the decision letter whether reasons are included.

The decision maker will send the claimants a new decision detailing whether they have changed their original decision once they have all the information they need. They should send the claimants two copies of a Mandatory Reconsideration notice, which the claimants need if the claimants wish to appeal further.

<sup>10</sup>. See the full procedure of [Appealing against a benefits decision](#) on nidirect.gov.uk. ↩

<sup>11</sup>. See [Appealing against a benefits decision](#) on nidirect.gov.uk. for up-to-date information on this. ↩

<sup>12</sup>. Veterans UK was previously known as the Service Personnel and Veterans Agency (SPVA). ↩

# Data on Employment & Support Allowance Benefit Decisions

## Introduction

Employment and Support Allowance (ESA) is a benefit administered across the UK, by the Department of Work and Pensions (DWP) in England, Wales and Scotland and by the Department for Communities (DfC) in Northern Ireland. ESA is an income replacement benefit for people below state pension age. If applicants are unable to work due to a health condition or disability, ESA offers financial support and personalised help so that they can return to work if they are able to.

This section presents an overview of the main decision points and opportunities for appeal, as per the current guidance available in the gov.uk pages for this benefit. While this might change as changes in the process are introduced, note that the appeals and complaints steps have been quite stable (they have been the same since 2012).

Note that ESA replaced Incapacity Benefit, Severe Disablement Allowance and Income Support that is paid because of an illness or disability for new claimants from 27 October 2008 in England, Wales and Scotland and from 23 May 2016 in N. Ireland, so data on the benefit in that form is available since after that.

## Baseline data

**Related Data Sources:** The following data sources help mirror the process described in the “how it is administered” section below:

- Employment and Support Allowance caseload data (includes data on caseload of WCA) – Stat-Xplore
- Official statistics on WCA outcomes (decisions) – gov.uk
- ESA Sanction Decisions – Stat Xplore
- Northern Ireland Benefits Statistics – Benefit Claimants by extract date (2013-2017)

### List of Variables:

#### a. *ESA Caseload Dataset:*

- Time variables: Quarter
- Residential Geographies: Great Britain; Country; Region; County/Unitary Authority; Unitary/Local Authority; Middle Super Output Area; Lower Super Output Area; Census Output Area; Westminster Parliamentary Constituency; Scottish Parliamentary Constituency

- Claimant Sociodemographic Characteristics: Age (bands and single year); Duration of Current Claim; Ethnicity (detailed and summary); Gender; Grouped Amount of Benefit; IB Reassessment Indicator; Medical Condition; Partner Indicator; Payment Type; Phase of ESA Claim

### *b. ESA Sanction Decisions Dataset:*

Derived from a combination of data from the Decisions Making and Appeals System (DMAS) and the Labour Market System (LMS), contains the following fields:

- JobCentre Plus geographies (Great Britain, Country, JobCentre Plus Region, JobCentre Plus District, JobCentre Plus Office);
- Residential Geographies (2001 Census) (Great Britain, Country, Region, Local Authority, Westminster Parliamentary Constituency);
- Sociodemographic Characteristics (Gender, Age (in bands), Single Year of Age, Ethnic Group, Detailed Ethnicity, Disability)
- Sanction Decision Information (Month Decision Made, Pre and Post 3rd Dec 2012 Sanctions Regime, Decision Type, Decisions Outcome, Referral Reason)

### *c. Form ESA1 for ESA Claimants in N. Ireland:*

ESA Claimants in N. Ireland, need to fill in form [ESA1](#), which includes the following fields:

- Surname; Other names; National Insurance number; whether claimant is getting any special medical treatment;
- whether they are employed by an employer, even if they are not working at the moment; whether any of the employers have given them a form SSP1;
- date the benefit will start; whether income-related ESA is claimed;
- if they have a partner; details of claimant and partner (surname; address; mobile no; daytime phone no; nationality; if homeless; marital or civil partnership status; if expecting baby; if gave birth to baby up to 39 weeks before the date they are claiming; date the disability started; details of disability; name of doctor who signs medical statements; doctor's address; doctor's phone no; whether getting Statutory sick Pay; whether entitled to statutory sick pay; whether has been in hospital as in-patient in last 52 weeks and details; whether ever registered or certified as blind or severely sight impaired with local Health Trust);
- whether special rules apply to them; whether asked for a DS1500 Report for plain for Personal Independence Payment; for both claimant and partner (if they are working at the moment and info about it);
- whether they know when they will be well enough to work again; whether they are getting back to work; whether worked a night shift and whether they will be going back to this; information about other social security benefits they might be receiving, (such as Carers' Allowance, Disability Living Allowance, Personal Independence Payment etc.);
- whether worked or claimed benefit outside the UK in the last 5 years or been in the

Armed Forces;

- whether exempt from paying UK income tax;
- whether getting any statutory payments (such as pensions payments, permanent health insurance payments) and information around it;
- whether they have received education, training or apprenticeship in the last 4 years; where they live; about children and qualifying young persons;
- information on bank and building society accounts, savings and property; information about other money coming in; info about other people who live with them; owning their home; living in a care home;
- info about any special circumstances; bank details of where the benefit will be paid in;
- other information supplied by claimant (free text); info if filling in the form for someone else

**How to access:** Aggregate data is available via the online data explore Tool Stat-Xplore for both baseline caseload and sanctions data.

For access to individual access data researchers are advised to contact the DWP External Data Sharing Advice Centre directly via [externaldatasharing.advicecentre@dwp.gsi.gov.uk](mailto:externaldatasharing.advicecentre@dwp.gsi.gov.uk) or the Administrative Data Research Network [help@adrn.ac.uk](mailto:help@adrn.ac.uk) who will be able to advise on the next steps in the first instance.

Access to the Northern Ireland benefit Statics is via the dedicated pages at <https://www.communities-ni.gov.uk/topics/benefits-statistics> (years 2015-2017) and <https://www.communities-ni.gov.uk/publications/benefits-statistics-summary-archive> (years 2013-2015).

### **How the benefit is administered:**

#### *1. Initial assessment:*

When a new customer applies for ESA they enter an assessment phase which normally lasts 13 weeks. While in the assessment phase, and if their claim is longer than seven days, claimants are required to supply up-to-date medical evidence. If their claim is for fewer than seven days, self-certification is accepted.

During the assessment phase, claimants will have their ability to work assessed to determine their entitlement – the process is called the Work Capability Assessment (WCA). During the assessment phase and if claimants satisfy the relevant national insurance contribution condition and/or income tests, claimants are paid at the 'assessment rate', which is based on the Jobseeker's Allowance personal allowance.

#### *2. WCA decision:*

Whether applicants can claim ESA on a longer-term basis after the initial assessment phase, depends on the outcome of the WCA. Claimants might receive one of the following three outcomes:

1. Suitable for the ESA Work Related Activity Group (WRAG) (and are able to undertake and participate in work-related activity to help them move towards the labour market),
2. Suitable for the ESA Support Group (where claimants are not required to undertake any interviews or work related activity), or
3. Fit for work and therefore not entitled to ESA, although there is a right of appeal.

### 3. Sanctions decision:

Until December 2012 in England, Scotland and Wales and May 2016 in N. Ireland , ESA claimants in the Work-Related Activity Group (WRAG) who failed to meet requirements were subject to an open-ended sanction which was lifted when they re-complied. The sanction amount was set to 50% of the work-related activity component, rising to 100% after 4 weeks.

New sanctions rules came into force from 3<sup>rd</sup> December 2012 (E,S, W) and 23<sup>rd</sup> May 2016 (NI) for WRAG ESA claimants, as follows:

- claimants in the WRAG group who fail to comply with the conditions for receiving benefit receive an open-ended sanction, followed by a fixed period sanction when they re-comply
- the sanctionable amount increased to 100% of the prescribed amount for a single claimant
- a hardship regime for ESA claimants was introduced

## Appeals and Tribunals Data

**Related Data Sources:** The following data sources help mirror the process described in the “how it is administered” section below:

- WCA appeals statistics – gov.uk
- HM Courts & Tribunals Service First-Tier TribunalSSCS1A form data; DWP/DfC response; decision data; [Statistics on the use of language services in the courts and tribunals](#) (MoJ); [Tribunals and gender recognition certificate statistics quarterly](#) (MoJ)
- HM Courts and Tribunals Service Upper Tribunal - UT001 & UT002 form data; decision data; [Statistics on the use of language services in the courts and tribunals](#) (MoJ); [Tribunals and gender recognition certificate statistics quarterly](#) (MoJ)
- Northern Ireland Courts and Tribunals service (aka “the Appeals Service - TAS”) – tribunal decisions; sentencing decisions; summaries of judgements
- Court of Appeal - [N161 form data](#): Appellant's notice (all appeals except small claims track appeals and appeals to the Family Division of the High Court); [N244 form data](#): Application notice; [N460 form data](#): Reasons for allowing or refusing permission to appeal (including referral to the Court of Appeal (Civil Division)), and information concerning routes of appeal; [N460HC form data](#): Reasons for allowing or refusing permission to appeal and information concerning routes of appeal; previous decisions

data;

- UK Supreme Court - [CF1 form data](#) - Notice of appeal (or application for permission to appeal); [CF2 form data](#) - Application form; [CF3 form data](#) - Notice of objection / Acknowledgment Court; [CF5 form data](#) - Bill of Costs

### **Variables:**

#### *a. First-Tier Tribunal Appeal:*

There is no information on the data that the Social Security & Child Support Tribunal hold for appeals, but we can get some indirect information from the types of forms and documentation that the appellants and respondents have to fill in:

- ESA Claimants in England, Scotland and Wales need to fill in form [SSCS1](#), which includes the following fields: right to appeal; name of benefit appealing about; applicant details (title, name, surname, address, Date of Birth, National Insurance Number, Postcode, Full Address, Phone Number); details of person appealing on behalf of (same as above, applicable only when appealing on behalf of someone else); grounds for appeal (free text, open ended); is appeal in time (if not why); choice of attending a hearing or decision being on the papers; hearing needs and requirements (availability; special needs; signer/interpreter and language requirements; notice of hearing); signature and date of application.
- ESA claimants in N. Ireland, need to fill in form Enquiry Form [Appeals form NOA1\(SS\)](#), to appeal via the Appeals Service, which includes the following fields: about the decision being appealed against (received mandatory reconsideration; copy attached; write the date the mandatory reconsideration notice was sent; name of benefit appealing against); time limits for appealing (information about applying for an extension; reasons); grounds for appeal (why disagree with the decision); person information of claimant (title; first name; surname; address; Date of birth; phone no; postcode; email); information on the person acting on behalf of a child or another adult (if officially appointed to act on behalf of the person; title; first name; surname; address; date of birth; national insurance number; email; postcode); declaration
- [Tribunals and gender recognition certificate statistics quarterly](#). These are issued by the Ministry of Justice Quarterly and include information on receipts (i.e., cases received by HMCTS), the outcome of cases by category (e.g., cases disposed of at hearing) and the caseload outstanding (snapshot of live cases at a specific point in time) for the 3 largest tribunals: Employment, Immigration and Asylum, and Social Security and Child Support. It also incorporates statistics on gender recognition certificates.
- [Statistics on the use of language services in the courts and tribunals](#). The data presented in this series of bulletins are the face to face language services provided to HM Courts & Tribunals Services and National Offender Management Service (NOMS), covering requests for services made and completed.
- The Tribunal is normally recording the decision of the appeal, and issues a response,

but we could not find an example to include in this report.

### *b. Second-Tier Tribunal Appeal:*

There is no metadata on the types of information that the Upper Tribunal holds on ESA appeals, but we can get some indirect information from the forms and supplementary documentation that the appellants have to fill in and the range of documentation that is submitted:

- ESA Claimants need to fill in form [UT001](#) initially, to apply for permission to appeal to the Upper Tribunal (UT). This is a .pdf form which contains the following information: about the decision appealing against (First-Tier tribunal reference, First-Tier Tribunal Decision Date); about the appellant (title, name, surname, national insurance number, Date of Birth, full address including postcode, phone number); details of the representative (if relevant, as above); reasons for any delay (if more than a month passed since First-Tier Tribunal decision); reasons for appeal (open ended question); preference of oral hearing and why; signature and date of submission; enclosed required documents
- DWP/DfC and other government departments, need to fill in form [UT002](#) (Upper Tribunal Administrative Appeals Chamber, 2012) initially to apply for permission to appeal to the UT. This is a .pdf form and contains the following information: about the appellant (name of department, information about the representative (name, full address including postcode, phone number, reference no.)); about the respondents – first, second and third respondent (surname, other names, full address including postcode); about the first-tier tribunal (location where decision was made, date of first-tier tribunal, tribunal decision number; written statement for reasons of tribunal’s decision, date of tribunal decision); reason for appealing (open ended question, up to 2 pages); permission to appeal from the first-tier tribunal (did the first-tier tribunal refuse to admit the application because they were late; if more than one months have passed since the tribunal; if the appellant requires an oral hearing); signature, declaration and date of submission of the form.
- For [Statistics on the use of language services in the courts and tribunals](#) (MoJ); [Tribunals and gender recognition certificate statistics quarterly](#) (MoJ), see above.
- The Tribunal is normally recording the decision of the appeal, and issues a response, but we could not find an example to include in this report.

### *c. Court of Appeal:*

There is no metadata on the types of information that the Court of Appeal holds on first- and second-tier appeals, but we can get some indirect information from the [forms and supplementary documentation](#) that the appellants have to fill in and the range of documentation that is submitted:

- N161 form: [Appellant's notice \(all appeals except small claims track appeals and](#)

[appeals to the Family Division of the High Court](#))

- N244 form: [Application notice](#)
- N460 form: [Reasons for allowing or refusing permission to appeal \(including referral to the Court of Appeal \(Civil Division\)\)](#), and information concerning routes of appeal.
- N460HC form: [Reasons for allowing or refusing permission to appeal and information concerning routes of appeal](#).
- [previous decisions data](#); This is in the form of an online searchable data base of decisions, made available by the British and Irish Legal Information Institute. An example of a subset of the database focusing on decisions by the Court of Appeals for English and Wales cases is available via [this link](#).

### *d. UK Supreme Court:*

There is no metadata on the types of information that the UK Supreme Court holds on appeals, but we can get some indirect information from the forms and supplementary documentation that the appellants should fill in and the range of documentation that is submitted:

- CF1 - Notice of appeal Notice of appeal (or application for permission to appeal) [Court form 1 \(PDF\)](#)
- CF2 - Application form [Court form 2 \(PDF\)](#)
- CF3 - Notice of objection / Acknowledgment [Court form 3 \(PDF\)](#)
- CF5 - Bill of Costs [Court form 5 \(DOC\)](#)

### **How to access:**

*(a) Ministry of Justice Data:* Ministry of Justice (MoJ) Statistics can be accessed via the [gov.uk](#) pages. For access to more detailed, individual level data, researchers should contact the [Ministry of Justice DataLab](#) at [justice.datalab@justice.gsi.gov.uk](mailto:justice.datalab@justice.gsi.gov.uk).

*(b) HM Courts and Tribunals Data:* Researchers can request access to some HM Courts and Tribunals Data which follows the full journey of appeals from first tier to the highest courts, by applying to the HMCS Data Access Panel (DAP) following the application process outlined in the [gov.uk](#) pages.

Researchers need to find a 'sponsor' i.e. someone from within HMCTS or Ministry of Justice that can support the application by confirming that the research is practical acceptable and reasonable, does not duplicate any current research that is undertaken using HMCTS data, is factually sound and it will not be superseded by imminent changes in the law. The contact details of sponsors by type of court is listed on the same pages, under [Academic Research Sponsorship Contact Details](#). For the purposes of civil cases, these would be Paul Downer ([paul.downer@justice.gsi.gov.uk](mailto:paul.downer@justice.gsi.gov.uk)) or Jason Latham ([jason.latham@hmcts.gsi.gov.uk](mailto:jason.latham@hmcts.gsi.gov.uk)) both Civil, Family and Tribunals Directorate, HM Courts & Tribunals Service. For the purposes of appeals related to crime cases, contact the Crime Directorate, HM Courts and Tribunals



Service ([crimedirectoratesupport@hmcts.gsi.gov.uk](mailto:crimedirectoratesupport@hmcts.gsi.gov.uk)). For the purposes of family cases, contact Patrick O’Shea, Civil, Family and Tribunals Directorate ([patrick.o’shea@hmcts.gsi.gov.uk](mailto:patrick.o’shea@hmcts.gsi.gov.uk)), and for Tribunals related cases, contact Jason Latham ([jason.latham@hmcts.gsi.gov.uk](mailto:jason.latham@hmcts.gsi.gov.uk)).

Researchers will also need a [Privileged Access Agreement](#) from the Records Management Services – when applying the HMCTS will forward the researcher’s details and ask for that permission on behalf of the researcher.

Once the relevant information is received and the applicant has filled in the [application form](#), and submitted the relevant documentation (methodology report, CVs of those involved, any data collection instruments as necessary, ethics approval from the researcher’s university), the Panel will assess the request and decide if the use is fair and proportionate.

If researchers require judicial participation in their research, i.e. research proposals that gather data/information from the courts/tribunals (including gaining access to case files), have court/tribunal staff complete questionnaires or be interviewed and as part of a proposed research project they will be required to make a separate application to the Judicial Office, who will also act as their sponsor, by following the information from the [Courts and Tribunals Judiciary pages](#) or via email to [researchrequest@judiciary.gsi.gov.uk](mailto:researchrequest@judiciary.gsi.gov.uk).

*(c) The Appeals Service/NI Courts and Tribunals Service:* Some data on decisions and judgements are available on [these TAS pages](#).

### **How the appeal is administered:**

#### *1a. Appealing a WCA or a Sanctions decision - mandatory reconsideration:*

If claimants disagree with a decision (either on the Work Capacity Assessment or the Sanctions imposed), claimants can raise this with the office they have been interacting in the first instance, who are expected to respond to the request immediately. Claimants can request a written statement of the reasons.

If claimants are not satisfied with the resolution or do not agree with the decision, they can ask the office to consider it again. This process is called **mandatory reconsideration**. To do that, claimants need to submit an explanation of why they think the decision is wrong and include evidence to support their claims. They need to do this within 1 month of the date of a decision.

#### *1b. Appealing a WCA or a Sanctions decision - submitting an appeal to HMCTS or TAS:*

If unhappy, they can appeal to an independent tribunal, the *Social Security and Child Support Tribunal*. They need to apply within a month of the mandatory reconsideration decision. Claimant can seek support from the Citizens’ Advice, who can support them with

filling in forms or going to a hearing. Note that claimants cannot appeal to the tribunal if they haven't asked for mandatory reconsideration. This requirement was introduced in October 2013 in England, Wales and Scotland and in May 2016 in N. Ireland.

Appeals can be withdrawn at any time before the hearing has started.

The HM Courts and Tribunals Service (HMCTS) or the N. Ireland Courts and Tribunals Service (NI CTS) also known as *The Appeals Service* (TAS) will check the appeal to ensure it complies with all the legal requirements to be accepted as a valid appeal ([HM Courts & Tribunals Service, 2015](#)). They can then:

- if there are problems, they would return to the claimant with a letter, explaining what the problem is and how the issue can be resolved. The claimant would then need to address the issues and resubmit.
- if the claimant does not respond/address the issues, they can 'strike out' the appeal on grounds of receiving insufficient information. They can also decide to 'waive' that requirement – this is decided on a case-by-case basis
- accept the appeal as valid, and send an acknowledgement letter

### *1c. Appealing a WCA or a Sanctions decision - next steps:*

HMCTS or NICTS sends the appeal to DWP or DfC and ask them to provide a response to the appeal – this is usually in the form of a report outlining how they came to their decision. HMCTS or NICTS will also create a casefile for the appeal and transfer it to the regional centres which deal with the claimant's area of residence.

DWP or DfC can:

- Object to the appeal – on the grounds that the appeal is against a decision which does not carry a right of appeal; that it is late and the reasons for lateness are unreasonable; that it provides inadequate information to identify the decision or give grounds to appeal; on the grounds that it has no reasonable prospect of success. If that happens, HMCTS or NICTS will request that the case is reviewed by a Judge, who will decide if there is any merit in DWP or DfC's arguments.
- Consider the appeal – DWP or DfC will look at their decision again in light of the information provided and change their decision. If this is to the advantage of the claimant, then the appeal will automatically lapse. The Claimant will be able to appeal that decision in the same way, but usually DWP or DfC would contact the claimant to discuss this and usually will only proceed if there is agreement. After a couple of weeks after the appeal submission, the claimant receives a copy of all the paperwork up to that point and a copy of DWP or DfC's response to the appeal.

The claimant can then:

- Accept DWP or DfC's response and withdraw the appeal. They need to notify HMCTS

or NICTS by phone or in writing.

- Not accept the response and carry on with the hearing or tribunal appeal consideration on papers

After the tribunal is held, a notice setting out the decision of the tribunal is sent to both parties on the day of the hearing. Note that:

- The tribunal have no legal powers to enforce its decisions.
- DWP or DfC are entitled to suspend payment of any benefit awarded by the tribunal if they are appealing against the tribunal's decision

### *2. Appealing the First-Tier Tribunal Decision:*

The first-tier tribunal's decision can be appealed further by either the claimant or DWP or DfC on the ground of 'error of law' to the *Upper Tribunal*. This is when it is thought that the tribunal applied the law incorrectly, conducted the proceedings in breach of the proper procedures or failed to make adequate findings or fact or to give adequate reasons for its decision. For this to happen:

- A statement of reasons for the tribunal's decision needs to be requested from the judge, within one month of the date of issue of the tribunal decision
- A form (supplied on request)

The request will be considered by a Senior Tribunal Judge, who can:

- Grant permission, in which case the appeal can be forwarded to the Upper Tribunal
- Refuse permission, in which case the claimant or
- DWP or DfC can ask the Upper Tribunal directly for permission
- 'set aside' i.e. re-decide the case and have it heard by a fresh tribunal

If considered by an Upper Tribunal, they have the power to:

- 'set aside' the tribunal decision and refer the case to a fresh tribunal
- substitute their own decision

The full appeals policy for Benefits entitlements is available via the [gov.uk pages](#). The process for appealing to the Social Security and Child Support Tribunal is outlined in ([HM Courts & Tribunals Service, 2015](#)) and for appealing to the Upper Tribunal in ([HM Courts and Tribunals Service, 2015](#)). The full procedure for applying to each of the Chambers is outlined in the gov.uk<sup>13</sup> pages. Similar information is available via the NI Direct [Appealing against a benefits decision](#) pages.

## Complaints data

**Related Data Sources:** The following data sources help mirror the process described in the "how it is administered" section below:

- Complaints statistics online (DWP) – see also the note on access below
- HMCTS: We could not find any data available online on complaints handled or processed by HMCTS.
- The Appeals Service (TAS) or NI CTS – online statistics (2004-now)
- Department for Communities (NI): We could not find any complaints data for the Department for Communities (NI). The complaints procedure is outlined in the [Complaints](#) pages.

### **Variables:**

#### *a. DWP:*

For DWP data, no information is currently available on the claimants' data that the organisations hold, other than the number of complaints per year.

#### *b. HMCTS:*

There is no data dictionary available as such, but appellants who would like to lodge a complaint are advised to use form [EX343A](#) (last updated October 2015), which suggests the following information is usually recorded:

- Date received
- Reference number
- Name and address of venue complaint is made about
- Name of appellant (surname and name)
- Address of appellant
- Daytime telephone of appellant
- Email of appellant (optional)
- Case/claim number
- Names of parties in the case
- The complaint (what the complaint is about; any facts and events relating to it; why the appellant thinks a mistake has been made; what loss if any the appellant has incurred as a result) – open ended can continue to another sheet.
- Appellant's signature
- Date
- Appellant's suggestions to improve the service they have received

#### *c. The Appeals Service (NI Courts and Tribunals Service) & the NI Public Services Ombudsman:*

Statistics data are available via the [online statistics pages](#), for the years 2004 – 2013. Information included in the statistics cover: breakdown by venue; breakdown of complaints by category; breakdown of main categories of complaints received; complaints upheld; follow up action; how complaints were received; response time;

For complaints that have been escalated further, some statistics and results of decisions are available in the Annual Ombudsman Reports (NI) [online](#), for the years 2012-2016. These are in a pdf format (not in a spreadsheet/tabular format) and some work might be required to use it for analysis.

### **How to access:**

The Department for Work and Pensions publish information about the number of DWP complaints at different stages of their appeal [via their statistics pages](#). More detailed data about the types of complaints and how they were addressed is not readily available, and best way forward would be to contact the External Data Sharing Advice Centre directly.

The Appeals Service (TAS) (NI Courts and Tribunals Service) publish information about the number of complaints at different stages of appeals via their statistics pages (see above).

There was unfortunately little data available on complaints handled by the HMCTS – researchers are encouraged to contact the respective organisations directly for more information if interested in these types of data.

### **How it is administered:**

#### *1. DWP/DfC:*

\*\*At any point during the process, if a claimant is not happy with the service received from DWP/DfC, they can lodge a complaint through the office that has been supporting them, this is usually the officer named in the most recent correspondence. If This is reviewed by a Complaint Resolution Manager and the complaint will be addressed and a response issued within 15 working days or contact the claimant when to expect a response if it will take longer.

Note that it is not possible to complaint against a decision on a benefit or a sanction – these are considered as “appeals” against a decision or sanction and are dealt with under the Appeals process.

If the claimant feels that the complaint has not been resolved, the complaint can be further escalated to a senior manager, who will be asking for an independent internal review of the complaint. They would contact the claimant within 15 working days to report on the outcome, or when they can expect a response if it will take longer.

If the claimant is not happy with how their complaint was addressed, they can escalate their complaint with the Independent Case Examiner (ICE). This will need to happen within 6 months of the final response from DWP/DfC. The Independent Case Examiner can't look at matters of law or government policy. If they accept to consider the complaint, they will look into what happened and what should have been done and can ask DWP/DfC to put matters right. They are acting as an impartial referee and will not charge for their service.

If their complaint has not been addressed satisfactorily on this occasion, they need to approach an MP, who can escalate their complaint to the Parliamentary and Health Service Ombudsman. Note that claimants cannot apply directly to the [Parliamentary and Health Service Ombudsman](#).

The full complaints policy of the Department for Work and Pensions is available from the [gov.uk pages](#). The complaints procedure of the Department for Communities (NI) is outlined in their [Complaints pages](#).

### 2. HMCTS:

HMCTS' Complaints Correspondence and Litigation Team (CCLT) handles all complaints relating to procedure and conduct within the first and upper tier tribunals, their procedure is published [on their pages](#).

At any point during the process, if an appellant is not happy with the service received from a Tribunal, in particular (a) the way the case was handled by administrative staff and (b) the facilities at the venues, they can lodge a complaint through the office they have been interacting with.

Appellants can also complain using [Resolver](#) a platform that allows them to select the specific court or tribunal and the type of complaint that they would like to make. The service provides example emails and templates for the appellants to use. Note that it is not possible to complain against a decision (they will need to appeal it to a higher court).

If the appellant feels that the complaint has not been resolved, the complaint can be further escalated to a senior manager, who will be asking for an independent internal review of the complaint. They would contact the appellant within 15 working days to report on the outcome, or when they can expect a response if it will take longer.

If their complaint has not been addressed satisfactorily on this occasion, they need to approach an MP, who can escalate their complaint to the Parliamentary and Health Service Ombudsman. Note that claimants cannot apply directly to the [Parliamentary and Health Service Ombudsman](#).

### 3. TAS/NI CTS:

Complaints can be submitted as soon as possible after the alleged incident for up to 6 months. Initially complaints can be resolved by the person dealing with the claimant, but can also be addressed to the Complaints Officer. If unsatisfied with the way the complaint was resolved, the complaint can be referred to the Head of Administration in the Appeals Service.

In all cases, the complaint will be acknowledged within 3 working days and replied to within 10 working days. If still unsatisfied the complainant can write to the [Operations Business Manager](#) or can ask their MPs to refer their complaint to the [Assembly Ombudsman](#).

## Accuracy and Limitations of the data sources

We outline some issues that have been reported throughout the literature with the data sources mentioned above.

### *1. Recording of claimants receiving Incapacity Benefits before October 2010:*

When ESA was initially introduced, it was announced that existing Incapacity Benefit claimants (including Income Support on the grounds of incapacity) would be reassessed to see if they are eligible for ESA. Reassessment started gradually from October 2010 (with a small pilot), with full national implementation from February 2011 onwards and is on-going. These claimants would then be subject to the standard conditions of an ESA claim, and be required to take part in a WCA.

### *2. Recording of the Medical conditions in the data:*

The Medical Conditions recorded on the claim form do not themselves grant entitlement to benefit. It is the effects of the condition which matter, not the condition itself. So for example, a decision on entitlement for an individual claiming ESA on the basis of alcoholism would be based on their ability to carry out the range of activities assessed by the WCA. It is also important to note that where within a record there are more than one diagnosis or disabling condition, only the primary one is reported in the data.

### *3. Statistical disclosure control on data available via Stat-Xplore:*

For all the data and tabulation available online via the Stat-Xplore platform, statistical disclosure control has been applied. While this safeguards against the identification of an individual claimant and allows versions of the aggregate data to be available online to explore, tabulate and create graphs with, random errors have been introduced to the data available via the Stat-Xplore tool, resulting sometimes in reduced quality. The following are worth noting:

- *introducing random error* is a technique developed to randomly adjust cell values. Random adjustment of the data is considered a satisfactory technique for avoiding accidental release of identifiable data.
- it is not possible to determine which individual figures have been affected by random error adjustments, but the small variance which may be associated with derived totals can, for the most part, be ignored
- no reliance should be placed on small cells as they are impacted by random adjustment, respondent and processing errors.
- similarly, rather than aggregating data from small areas to obtain statistics about a larger standard geographic area, published data for the larger area should be used wherever possible.
- when calculating proportions, percentages or ratios from cross-classified or small area tables, the random error introduced can be ignored except when very small cells are

involved, in which case the impact on percentages and ratios can be significant.

Also note that data currently available via the StatXplore tool is following a different methodology<sup>14</sup> compared to the (previously available) DWP Tabulation Tool – and hence there might be small differences in the outputs displayed in comparison.

#### 4. Identifying ESA Claims of short duration:

According to information available on Stat-Xplore, difficulties exist in the ability of the data to identify ESA claims of short duration. The frequency of the Work and Pensions Longitudinal Study (WPLS) scan for ESA, from which this data is gathered, stands at two weeks. As such any claim that both starts and ends within the two weeks when data extracts are taken, will not be picked up as part of the overall ESA data.

#### 5. ESA Sanctions Decisions data:

ESA Sanction Decisions statistics are derived from a combination of data from the Decisions Making and Appeals System (DMAS) and the Labour Market System (LMS). Recording and clerical errors can occur within both DMAS and LMS - for this reason, no reliance should be placed on very small numbers obtained through Stat-Xplore. Also, the quality of the variable *ESA Lone Parents* is reportedly very poor (see Stat-Xplore documentation on dataset).

## Examples of research using ESA data

The following is recent research using the Employment Support Allowance data:

(Morse, 2016; Warren, Garthwaite & Bamba, 2014; Barnes, Sissons, & Stevens, 2011; Garthwaite, 2011; Bamba & Smith, 2010)

---

<sup>13</sup>. The full procedure for each of the chambers is outlined from the gov.uk pages: [↔](#)

- [War Pensions and Armed Forces Compensation Tribunal](#)
- [Social Entitlement Chamber procedure \(2008\)](#)
- [Health, Education & Social Care Chamber](#)
- [General Regulatory Chamber](#)
- [Tax Chamber](#)
- [Immigration and Asylum Chamber](#)
- [Property Chamber](#)

<sup>14</sup>. The latest methodology is outlined in the [Data Confidentiality](#) page of Stat-Xplore. [↔](#)



# Data on Personal Independence Payments Benefit Decisions

## Introduction

The Personal Independence Payment (PIP) is a benefit administered in England, Wales and Scotland, by the Department of Work and Pensions (DWP) and recently in Northern Ireland. PIP helps individuals from 16 to 64 years old with some of the extra costs caused by long-term disability, ill-health or terminal ill-health.

This section presents an overview of the main decisions points and opportunities for appeal, as well as the complaints procedure and the data sources that are attached to them that can with research, following guidance available in the gov.uk pages for the benefit and other sources. While these processes might change as changes in the benefit are introduced, note that the appeals and complaints steps have been quite stable and are common across social benefits most of the times.

Note that PIP replaced Disability Living Allowance (DLA) for working age people from 8<sup>th</sup> April 2013 in England, Scotland and Wales and on the 20<sup>th</sup> June 2016 in Northern Ireland, but it is unclear if DLA data can be used to follow this subset of the population overtime before April 2013/June 2016. For claimants born after 8<sup>th</sup> April 1948 who have been claiming DLA, DWP is currently phasing out the DLA with the aim to invite them to apply for a PIP. For claimants over 64 years old on the 20<sup>th</sup> June 2016 (i.e. born after 20<sup>th</sup> June 1951) and who have an indefinite or lifetime award for DLA, they will be randomly selected for assessment and invited to claim PIP by the NI Department of Communities. This will be rolled out in a staged approach over several years between 12 December 2016 and December 2018<sup>14</sup>.

Information on data presented in this section includes PIP data for England, Wales and Scotland only. Statistics and data on PIP are still in the process of being collected and published. There might be some Data on Disability Living Allowance (DLA) that might be relevant, but it is not yet clear if they are comparable<sup>15</sup>.

## Baseline data

**Related Data Sources:** The following data sources help mirror the process described in the “how it is administered” section below:

- Personal Independence Payment Claims, clearance and registrations data – Stat-Xplore

- Official statistics on PIP outcomes (decisions) including no. mandatory reconsiderations) – gov.uk

### **List of Variables:**

#### *a. PIP Claims in Payment:*

PIP claimant statistics are derived from the Personal Independence Payment Computer System (PIPICS). This information is updated overnight into an Atomic Data Store (ADS) and this is made available to analysts. PIP is made up of 2 parts, the daily living component and the mobility component. Each component can be paid at one of 2 rates, either the standard rate or the enhanced rate.

Variables available:

- Residential Geographies (2001 Census) (Great Britain, Country, Region, Local Authority, Westminster Parliamentary Constituency);
- Sociodemographic Characteristics (Age (bands and single year), Daily Living Award Status, Duration of current claim, Gender, ICD disease code summary group, Mobility Award Status, Primary Disability Category and Subgroup, Reassessment Indicator, Terminally Ill Indicator)

#### *b. PIP Clearances:*

PIP clearance statistics are derived from the Personal Independence Payment Computer System (PIPICS), in the same way as the PIP Claims in Payment dataset. Variables available include:

- Residential Geographies (2001 Census) (Great Britain, Country, Region, Local Authority, Westminster Parliamentary Constituency);
- Claimant Characteristics (Age (bands and single year), Clearance Type Indicator, Daily Living Award Status, Disallowance Type Indicator, Gender, Reassessment Indicator, Terminally Ill Indicator)

#### *c. PIP Registrations:*

PIP registration statistics are derived from the Personal Independence Payment Computer System (PIPICS), in the same way as the PIP Claims in Payment dataset. By registration we mean that the claimant has completed the initial PIP claim process, either by phone or, in exceptional circumstances, via a paper form. Variables available include:

- Residential Geographies (2001 Census) (Great Britain, Country, Region, Local Authority, Westminster Parliamentary Constituency);
- Claimant Characteristics (Age (bands and single year), Gender, Reassessment Indicator, Terminally Ill Indicator)

Note that PIP is not a sanctionable benefit, therefore no sanction decision data is relevant to this benefit.

**How to access:** Aggregate data is available via the online data explore Tool Stat-Xplore for both baseline caseload and sanctions data.

For access to individual access data researchers are advised to contact the DWP External Data Sharing Advice Centre directly via [externaldatasharing.advicecentre@dwp.gsi.gov.uk](mailto:externaldatasharing.advicecentre@dwp.gsi.gov.uk) or the Administrative Data Research Network [help@adrn.ac.uk](mailto:help@adrn.ac.uk) who will be able to advise on the next steps in the first instance.

Statistics and data on PIP are still in the process of being collected and published. There might be some Data on Disability Living Allowance (DLA) that might be relevant, but it is not yet clear if they are comparable<sup>16</sup>. Access to the Northern Ireland benefit Statics is via the related pages for [years 2015-2017](#) and [2013-2015](#).

### **How it is administered:**

#### *1. Initial assessment:*

Before an eligible claimant applies for a PIP, they need to call the DWP in England, Wales and Scotland or the [Personal Independence Payment Centre](#) in N. Ireland, who within 2 weeks will send them a PIP claim form. Information that is normally collected on the form includes: list of health professionals, information about the condition, medication and treatments, ability to prepare and cook food, ability to independently eat and drink, managing treatments, washing and bathing, managing toilet needs, dressing and undressing, communicating, reading, mixing with other people, making decisions about money, going out, moving around. This is called the PIP1 form and it is not available online.

If terminally ill, they need to call the PIP claim line and ask for their doctor or other medical consultant to send the DS1500 medical form. The following information is normally collected at this stage: full name, address and phone number; national insurance number; bank or building society account details; nationality or immigration status; contact details of GP or other health professionals the customer works with; if stayed in a hospital or other type of residential care, the dates and details; if been abroad for 4 weeks or more in the last 3 years (the dates and reason).

The DS1500 form can only be completed by the doctor or consultant.

#### *2. Decision on the claim:*

A health professional will be asked to comment on the claimant's ability to carry out a range of daily living and mobility activities. They will write a report to DWP ([DWP, 2016](#)) or PIP Centre. Based on that a *DWP decision maker* or *PIP Centre Case Manager* will use a points system for each activity descriptor to decide whether a claimant is entitled to the benefit.

If successful, claimants will normally get their first payment within 4 months from the application date or as quickly as 2 weeks of applying if terminally ill.

## Appeals and Tribunal Data

**Related Data Sources:** The following data sources help mirror the process described in the “how it is administered” section below:

- HM Courts & Tribunals Service First-Tier Tribunal – SSCS1A form data; DWP/DfC response; decision data; [Statistics on the use of language services in the courts and tribunals](#) (MoJ); [Tribunals and gender recognition certificate statistics quarterly](#) (MoJ)
- HM Courts and Tribunals Service Upper Tribunal - UT001 & UT002 form data; decision data; [Statistics on the use of language services in the courts and tribunals](#) (MoJ); [Tribunals and gender recognition certificate statistics quarterly](#) (MoJ)
- Northern Ireland Courts and Tribunals service (aka “the Appeals Service - TAS”) – tribunal decisions; sentencing decisions; summaries of judgements
- Court of Appeal - [N161 form data](#): Appellant's notice (all appeals except small claims track appeals and appeals to the Family Division of the High Court); [N244 form data](#): Application notice; [N460 form data](#): Reasons for allowing or refusing permission to appeal (including referral to the Court of Appeal (Civil Division)), and information concerning routes of appeal; [N460HC form data](#): Reasons for allowing or refusing permission to appeal and information concerning routes of appeal; previous decisions data;
- UK Supreme Court - [CF1 form data](#) - Notice of appeal Notice of appeal (or application for permission to appeal); [CF2 form data](#) - Application form; [CF3 form data](#) - Notice of objection / Acknowledgment Court; [CF5 form data](#) - Bill of Costs
- Several Freedom of Information Requests - see for example (DWP Central FoI, 2016) have resulted in partial information on the number of mandatory reconsiderations and associated changes of award for a specific geographical area.

### Variables:

#### *a. First-Tier Tribunal Appeal:*

There is no information on the data that the Social Security & Child Support Tribunal hold for appeals, but we can get some indirect information from the types of forms and documentation that the appellants and respondents have to fill in:

- PIP Claimants in England, Scotland or Wales need to fill in form [SSCS1](#), which includes the following fields: right to appeal; name of benefit appealing about; applicant details (title, name, surname, address, Date of Birth, National Insurance Number, Postcode, Full Address, Phone Number); details of person appealing on behalf of (same as above, applicable only when appealing on behalf of someone else); grounds for appeal (free

text, open ended); is appeal in time (if not why); choice of attending a hearing or decision being on the papers; hearing needs and requirements (availability; special needs; signer or interpreter and language requirements; notice of hearing); signature and date of application

- PIP Claimants in N. Ireland, need to fill in form Enquiry Form [Appeals form NOA1\(SS\)](#), to appeal via the Appeals Service, which includes the following fields: about the decision being appealed against (received mandatory reconsideration; copy attached; write the date the mandatory reconsideration notice was sent; name of benefit appealing against); time limits for appealing (information about applying for an extension; reasons); grounds for appeal (why disagree with the decision); person information of claimant (title; first name; surname; address; Date of birth; phone no; postcode; email); information on the person acting on behalf of a child or another adult (if officially appointed to act on behalf of the person; title; first name; surname; address; date of birth; national insurance number; email; postcode); declaration
- [Tribunals and gender recognition certificate statistics quarterly](#). These are issued by the Ministry of Justice Quarterly and include information on receipts (i.e., cases received by HMCTS), the outcome of cases by category (e.g., cases disposed of at hearing) and the caseload outstanding (snapshot of live cases at a specific point in time) for the 3 largest tribunals: Employment, Immigration and Asylum, and Social Security and Child Support. It also incorporates statistics on gender recognition certificates.
- [Statistics on the use of language services in the courts and tribunals](#). The data presented in this series of bulletins are the face to face language services provided to HM Courts & Tribunals Services and National Offender Management Service (NOMS), covering requests for services made and completed.
- The Tribunal is normally recording the decision of the appeal, and issues a response, but we could not find an example to include in this report.

### *b. Second-Tier Tribunal Appeal:*

There is no metadata on the types of information that the Upper Tribunal holds on ESA appeals, but we can get some indirect information from the forms and supplementary documentation that the appellants have to fill in and the range of documentation that is submitted:

- PIP Claimants need to fill in form [UT001](#) initially, to apply for permission to appeal to the Upper Tribunal (UT). This is a .pdf form which contains the following information: about the decision appealing against (First-Tier tribunal reference, First-Tier Tribunal Decision Date); about the appellant (title, name, surname, national insurance number, Date of Birth, full address including postcode, phone number); details of the representative (if relevant, as above); reasons for any delay (if more than a month passed since First-Tier Tribunal decision); reasons for appeal (open ended question); preference of oral hearing and why; signature and date of submission; enclosed required documents

- DWP or DfC and other government departments, need to fill in form [UT002](#) (Upper Tribunal Administrative Appeals Chamber, 2012) initially to apply for permission to appeal to the UT. This is a .pdf form and contains the following information: about the appellant (name of department, information about the representative (name, full address including postcode, phone number, reference no.); about the respondents – first, second and third respondent (surname, other names, full address including postcode); about the first-tier tribunal (location where decision was made, date of first-tier tribunal, tribunal decision number; written statement for reasons of tribunal’s decision, date of tribunal decision); reason for appealing (open ended question, up to 2 pages); permission to appeal from the first-tier tribunal (did the first-tier tribunal refuse to admit the application because they were late; if more than one months have passed since the tribunal; if the appellant requires an oral hearing); signature, declaration and date of submission of the form.
- For [Statistics on the use of language services in the courts and tribunals](#) (MoJ); [Tribunals and gender recognition certificate statistics quarterly](#) (MoJ), see above.
- The Tribunal is normally recording the decision of the appeal, and issues a response, but we could not find an example to include in this report.

### *c. Court of Appeal:*

There is no metadata on the types of information that the Court of Appeal holds on first- and second-tier appeals, but we can get some indirect information from the forms and supplementary documentation that the appellants have to fill in and the range of [documentation](#) that is submitted:

- N161 form: [Appellant's notice \(all appeals except small claims track appeals and appeals to the Family Division of the High Court\)](#)
- N244 form: [Application notice](#)
- N460 form: [Reasons for allowing or refusing permission to appeal \(including referral to the Court of Appeal, Civil Division\), and information concerning routes of appeal.](#)
- N460HC form: [Reasons for allowing or refusing permission to appeal and information concerning routes of appeal.](#)
- [previous decisions data](#); This is in the form of an online searchable data base of decisions, made available by the British and Irish Legal Information Institute. An example of a subset of the database focusing on decisions by the Court of Appeals for English and Wales cases is available via [this link](#).

### *d. UK Supreme Court:*

There is no metadata on the types of information that the UK Supreme Court holds on appeals, but we can get some indirect information from the forms and supplementary documentation that the appellants should fill in and the range of documentation that is submitted:

- CF1 - Notice of appeal Notice of appeal (or application for permission to appeal) [Court form 1 \(PDF\)](#)
- CF2 - Application form [Court form 2 \(PDF\)](#)
- CF3 - Notice of objection or Acknowledgment [Court form 3 \(PDF\)](#)
- CF5 - Bill of Costs [Court form 5 \(DOC\)](#)

### How to access:

*a. Ministry of Justice Data:* Ministry of Justice (MoJ) Statistics can be accessed via the gov.uk pages. For access to more detailed, individual level data, researchers should contact the [Ministry of Justice DataLab](#) at [justice.datalab@justice.gsi.gov.uk](mailto:justice.datalab@justice.gsi.gov.uk).

*b. HM Courts and Tribunals Data:* Researchers can request access to some HM Courts and Tribunals Data which follows the full journey of appeals from first tier to the highest courts, by applying to the HMCS Data Access Panel (DAP) following the application process outlined in the [gov.uk pages](#).

Researchers need to find a *sponsor* i.e. someone from within HMCTS or Ministry of Justice that can support the application by confirming that the research is practical acceptable and reasonable, does not duplicate any current research that is undertaken using HMCTS data, is factually sound and it will not be superseded by imminent changes in the law. The contact details of sponsors by type of court is listed on the same pages, under [Academic Research Sponsorship Contact Details](#). At the time of writing, for the purposes of civil cases, these would be Paul Downer ([paul.downer@justice.gsi.gov.uk](mailto:paul.downer@justice.gsi.gov.uk)) or Jason Latham ([jason.latham@hmcts.gsi.gov.uk](mailto:jason.latham@hmcts.gsi.gov.uk)) both Civil, Family and Tribunals Directorate, HM Courts & Tribunals Service. For the purposes of appeals related to crime cases, contact the Crime Directorate, HM Courts and Tribunals Service ([crimedirectoratesupport@hmcts.gsi.gov.uk](mailto:crimedirectoratesupport@hmcts.gsi.gov.uk)). For the purposes of family cases, contact Patrick O'Shea, Civil, Family and Tribunals Directorate ([patrick.o'shea@hmcts.gsi.gov.uk](mailto:patrick.o'shea@hmcts.gsi.gov.uk)), and for Tribunals related cases, contact Jason Latham ([jason.latham@hmcts.gsi.gov.uk](mailto:jason.latham@hmcts.gsi.gov.uk)).

Researchers will also need a [Privileged Access Agreement](#) from the Records Management Services – when applying the HMCTS will forward the researcher's details and ask for that permission on behalf of the researcher.

Once the relevant information is received and the applicant has filled in the [application form](#), and submitted the relevant documentation (methodology report, CVs of those involved, any data collection instruments as necessary, ethics approval from the researcher's university), the Panel will assess the request and decide if the use is fair and proportionate.

If researchers require judicial participation in their research, i.e. research proposals that gather data/information from the courts/tribunals (including gaining access to case files), have court/tribunal staff complete questionnaires or be interviewed and as part of a



proposed research project they will be required to make a separate application to the Judicial Office, who will also act as their sponsor, by following the information from the [Courts and Tribunals Judiciary pages](#) or via email to [researchrequest@judiciary.gsi.gov.uk](mailto:researchrequest@judiciary.gsi.gov.uk).

*c. The Appeals Service/NI Courts and Tribunals Service:* Some data on decisions and judgements are available on [these TAS pages](#).

### **How appeals are administered:**

#### *1a. Appealing a PIP assessment decision - mandatory reconsideration:*

If claimants disagree with a decision they can raise this with the office they have been interacting in the first instance, who are expected to respond to the request immediately. Claimants can request a written statement of the reasons.

If claimants are not satisfied with the resolution or do not agree with the decision, they can ask the office to consider it again. This process is called **mandatory reconsideration**. To do that, claimants need to submit an explanation of why they think the decision is wrong and include evidence to support their claims. They need to do this within 1 month of the date of a decision.

#### *1b. Appealing a WCA or a Sanctions decision - submitting an appeal to HMCTS or TAS:*

If unhappy, claimants can appeal to an independent tribunal, the *Social Security and Child Support Tribunal* in England, Scotland or Wales. They need to apply within a month of the mandatory reconsideration decision. Claimants can seek support from the Citizens' Advice, who can support them with filling in forms or going to a hearing. Note that they cannot appeal to the tribunal if they haven't asked for mandatory reconsideration. This requirement was introduced in October 2013 in England, Wales and Scotland and in May 2016 in N. Ireland. Appeals can be withdrawn at any time before the hearing has started.

The HM Courts and Tribunals Service (HMCTS) or the N. Ireland Courts and Tribunals Service (NI CTS)/The Appeals Service (TAS) will check the appeal to ensure it complies with all the legal requirements to be accepted as a valid appeal ([HM Courts & Tribunals Service, 2015](#)). They can then:

- if there are problems, they would return to the claimant with a letter, explaining what the problem is and how the issue can be resolved. The claimant would then need to address the issues and resubmit.
- if the claimant does not respond/address the issues, they can 'strike out' the appeal on grounds of receiving insufficient information. They can also decide to 'waive' that requirement – this is decided on a case-by-case basis
- accept the appeal as valid, and send an acknowledgement letter

#### *1c. Appealing a WCA or a Sanctions decision - next steps:*



HMCTS or NICTS sends the appeal to DWP or DfC respectively and ask them to provide a response to the appeal – this is usually in the form of a report outlining how they came to their decision. HMCTS or NICTS will also create a casefile for the appeal and transfer it to the regional centres which deal with the claimant’s area of residence, based in Birmingham, Cardiff, Glasgow, Leeds, Liverpool, Newcastle; Sutton.

DWP or DfC can:

- Object to the appeal – on the grounds that the appeal is against a decision which does not carry a right of appeal; that it is late and the reasons for lateness are unreasonable; that it provides inadequate information to identify the decision or give grounds to appeal; on the grounds that it has no reasonable prospect of success. If that happens, HMCTS or NICTS will request that the case is reviewed by a Judge, who will decide if there is any merit in DWP or DfC’s arguments.
- Consider the appeal – DWP or DfC will look at their decision again in light of the information provided and change their decision. If this is to the advantage of the claimant, then the appeal will automatically lapse. The Claimant will be able to appeal that decision in the same way, but usually DWP or DfC would contact the claimant to discuss this and usually will only proceed if there is agreement. After a couple of weeks after the appeal submission, the claimant receives a copy of all the paperwork up to that point and a copy of DWP or DfC’s response to the appeal.

The claimant can then:

- Accept DWP or DfC’s response and withdraw the appeal. They need to notify HMCTS or NICTS by phone or in writing.
- Not accept the response and carry on with the hearing or tribunal appeal consideration on papers

After the tribunal is held, a notice setting out the decision of the tribunal is sent to both parties on the day of the hearing. Note that:

- The tribunal have no legal powers to enforce its decisions.
- DWP or DfC is entitled to suspend payment of any benefit awarded by the tribunal if they are appealing against the tribunal’s decision

### *2. Appealing the First-Tier Tribunal Decision:*

The first-tier tribunal’s decision can be appealed further by either the claimant or DWP/DfC on the ground of ‘error of law’ to the *Upper Tribunal*. This is when it is thought that the tribunal applied the law incorrectly, conducted the proceedings in breach of the proper procedures or failed to make adequate findings or fact or to give adequate reasons for its decision. For this to happen:

- A statement of reasons for the tribunal’s decision needs to be requested from the judge,

within one month of the date of issue of the tribunal decision

- A form (supplied on request)

The request will be considered by a Senior Tribunal Judge, who can:

- Grant permission, in which case the appeal can be forwarded to the Upper Tribunal
- Refuse permission, in which case the claimant or
- DWP/DfC can ask the Upper Tribunal directly for permission
- 'set aside' i.e. re-decide the case and have it heard by a fresh tribunal

If considered by an Upper Tribunal, they have the power to:

- 'set aside' the tribunal decision and refer the case to a fresh tribunal
- substitute their own decision

The full appeals policy for Benefits entitlements is available via the [gov.uk pages](#). The process for appealing to the Social Security and Child Support Tribunal is outlined in ([HM Courts & Tribunals Service, 2015](#)) and for appealing to the Upper Tribunal in ([HM Courts and Tribunals Service, 2015](#)). The full procedure for applying to each of the Chambers is outlined in the [gov.uk](#)<sup>17</sup> pages. Similar information is available via the [NI Direct pages](#).

## Complaints data

**Related Data Sources:** The following data sources help mirror the process described in the “how it is administered” section below:

- Complaints statistics online (DWP) – see also the note on access below
- HMCTS: We could not find any data available online on complaints handled or processed by HMCTS.
- The Appeals Service (TAS) or NI CTS – online statistics (2004-now)
- Department for Communities (NI): We could not find any complaints data for the Department for Communities (NI). The complaints procedure is outlined in the [Complaints pages](#).

### Variables:

#### *a. DWP:*

For DWP data, no information is currently available on the claimants' data that the organisations hold, other than the number of complaints per year.

#### *b. HMCTS:*

There is no data dictionary available as such, but appellants who would like to lodge a complaint are advised to use [form EX343A](#) (last updated October 2015), which suggests the following information is usually recorded:

- Date received
- Reference number
- Name and address of venue complaint is made about
- Name of appellant (surname and name)
- Address of appellant
- Daytime telephone of appellant
- Email of appellant (optional)
- Case or claim number
- Names of parties in the case
- The complaint (what the complaint is about; any facts and events relating to it; why the appellant thinks a mistake has been made; what loss if any the appellant has incurred as a result) – open ended can continue to another sheet.
- Appellant's signature
- Date
- Appellant's suggestions to improve the service they have received

### *c. The Appeals Service (NI Courts and Tribunals Service) & the NI Public Services*

#### *Ombudsman:*

Statistics data are available via the [online statistics pages](#), for the years 2004 – 2013.

Information included in the statistics cover: breakdown by venue; breakdown of complaints by category; breakdown of main categories of complaints received; complaints upheld; follow up action; how complaints were received; response time;

For complaints that have been escalated further, some statistics and results of decisions are available in the Annual Ombudsman Reports (NI) [online](#), for the years 2012-2016. These are in a pdf format (not in a spreadsheet/tabular format) and some work might be required to use it for analysis.

#### **How to access:**

The Department for Work and Pensions publish information about the number of DWP complaints at different stages of their appeal [via their statistics pages](#). More detailed data about the types of complaints and how they were addressed is not readily available, and best way forward would be to contact the External Data Sharing Advice Centre directly.

The Appeals Service (TA) (NI Courts and Tribunals Service) publish information about the number of complaints at different stages of appeals via their statistics pages (see above).

There was unfortunately little data available on complaints handled by the HMCTS – researchers are encouraged to contact the respective organisations directly for more information if interested in these types of data.

How it is administered:

### 1. DWP/DfC:

At any point during the process, if a claimant is not happy with the service received from DWP or DfC, they can lodge a complaint through the office that has been supporting them, this is usually the officer named in the most recent correspondence. If This is reviewed by a Complaint Resolution Manager and the complaint will be addressed and a response issued within 15 working days or contact the claimant when to expect a response if it will take longer.

Note that it is not possible to complaint against a decision on a benefit or a sanction – these are considered as *appeals* against a decision or sanction and are dealt with under the Appeals process.

If the claimant feels that the complaint has not been resolved, the complaint can be further escalated to a senior manager, who will be asking for an independent internal review of the complaint. They would contact the claimant within 15 working days to report on the outcome, or when they can expect a response if it will take longer.

If the claimant is not happy with how their complaint was addressed, they can escalate their complaint with the Independent Case Examiner (ICE). This will need to happen within 6 months of the final response from DWP or DfC. The Independent Case Examiner can't look at matters of law or government policy. If they accept to consider the complaint, they will look into what happened and what should have been done and can ask DWP/DfC to put matters right. They are acting as an impartial referee and will not charge for their service.

If their complaint has not been addressed satisfactorily on this occasion, they need to approach an MP, who can escalate their complaint to the Parliamentary and Health Service Ombudsman. Note that claimants cannot apply directly to the [Parliamentary and Health Service Ombudsman](#).

The full complaints policy of the Department for Work and Pensions is available from the [gov.uk pages](#). The complaints procedure of the Department for Communities (NI) is outlined on their [Complaints pages](#).

### 2. HMCTS:

HMCTS Complaints Correspondence and Litigation Team (CCLT) handles all complaints relating to procedure and conduct within the first and upper tier tribunals, their procedure is published on the [HMCTS complaints procedure pages](#).

At any point during the process, if an appellant is not happy with the service received from a Tribunal, in particular (a) the way the case was handled by administrative staff and (b) the facilities at the venues, they can lodge a complaint through the office they have been interacting with.

Appellants can also complain using [Resolver](#) a platform that allows them to select the specific court or tribunal and the type of complaint that they would like to make. The service provides example emails and templates for the appellants to use. Note that it is not possible to complain against a decision (they will need to appeal it to a higher court).

If the appellant feels that the complaint has not been resolved, the complaint can be further escalated to a senior manager, who will be asking for an independent internal review of the complaint. They would contact the appellant within 15 working days to report on the outcome, or when they can expect a response if it will take longer.

If their complaint has not been addressed satisfactorily on this occasion, they need to approach an MP, who can escalate their complaint to the Parliamentary and Health Service Ombudsman. Note that claimants cannot apply directly to the [Parliamentary and Health Service Ombudsman](#).

### 3. *TAS/NI CTS*:

Complaints can be submitted as soon as possible after the alleged incident for up to 6 months. Initially complaints can be resolved by the person dealing with the claimant, but can also be addressed to the Complaints Officer. If unsatisfied with the way the complaint was resolved, the complaint can be referred to the Head of Administration in the Appeals Service.

In all cases, the complaint will be acknowledged within 3 working days and replied to within 10 working days. If still unsatisfied the complainant can write to the [Operations Business Manager](#) or can ask their MPs to refer their complaint to the [Assembly Ombudsman](#).

## Accuracy and Limitations of the data sources

We outline some issues that have been reported throughout the literature with the data sources mentioned above.

### 1. *Recording of PIP claimants' statistics*:

PIP claimant statistics are derived from the Personal Independence Payment Computer System (PIPACS). This information is updated overnight into an Atomic Data Store (ADS) and this is made available to analysts. Recording and clerical errors can occur within PIP - for this reason, no reliance should be placed on very small numbers obtained through Stat-Xplore.

PIP payment statistics exclude a small number of successful claims that are not in payment (because, for example, initial payment has been suspended for hospitalisation or other reasons), prior to any PIP payment - but will include a small number of cases where a payment has been made but subsequently been suspended temporarily.

The historic caseload time series are subject to minor changes due to retrospection within the source data - the impact on the overall caseload is expected to be negligible.

For a very small proportion of the caseload (0.1%), the combination of award rates (daily living and mobility) is reported as nil-nil. Investigations suggest that award rates may be temporarily shown as a nil rate in the data used to derive the statistics for a short period, whilst a claim review is in process, after which the new award rate is set. These cases should be treated with caution and may be revised in a subsequent release.

### *2. PIP clearance & registration data - totals:*

Researchers are advised to be cautious when using clearance type data at sub-national levels to calculate award rates, as due to small numbers and non-disclosure rounding the figures could be misleading and present a lot of variability.

Revisions have been made to the clearance and registration totals for September 2015, December 2015 and January 2016, that were previously published on 16th March 2016, due to cases being added retrospectively to the source data following an IT issue.

Note that total clearances include Decisions (comprising Awards and Disallowances) and Withdrawals and reflect outcomes prior to any reconsideration and appeal action.

### *3. PIP clearance data - terminally ill claims status:*

The status of claims as *normal rules* or *special rules for terminally ill (SRTI)* is shown as at the point of clearance. Some claims may not be marked SRTI at the point of registration but become a SRTI claim at the point of clearance, and vice versa. This could lead to figures showing more SRTI clearances than registrations.

### *4. PIP Clearance Data – recording and IT system problems:*

Between Jan 14 - May 14 an IT issue within the PIP computer system caused a fall in the number of disallowances pre-referral to the assessment provider (AP) due to non-return of the Part2 within the time limit for New Claims. Likewise, the resolution of the issue in June 14 caused a large increase in the number of disallowances pre-referral to the assessment providers in that month. We believe this led to an artificial increase in the New Claim award rates between Jan14-May14 and then a subsequent artificial decrease in New Claim award rates in June 14.

Between Feb 2016 and April 2016 a technical problem with the PIP computer system has led to a fall in the number of disallowances pre-referral to the AP due to non-return of the Part2 within the time limit for New Claims, so the number of disallowances in these months are lower than expected. We believe this has led to an artificial increase in the New Claim award rates from Feb 16 onwards. Once this technical problem has been resolved we are expecting a higher number of disallowances in future months which in turn may lead to an artificial decrease in the New Claim award rates. This will be seen within the next quarterly official statistics publication.

### 5. Statistical disclosure control on data available via Stat-Xplore:

For all the data and tabulation available online via the Stat-Xplore platform, statistical disclosure control has been applied. While this safeguards against the identification of an individual claimant and allows versions of the aggregate data to be available online to explore, tabulate and create graphs with, random errors have been introduced to the data available via the Stat-Xplore tool, resulting sometimes in reduced quality. The following are worth noting:

- *introducing random error* is a technique developed to randomly adjust cell values. Random adjustment of the data is considered a satisfactory technique for avoiding accidental release of identifiable data.
- it is not possible to determine which individual figures have been affected by random error adjustments, but the small variance which may be associated with derived totals can, for the most part, be ignored
- no reliance should be placed on small cells as they are impacted by random adjustment, respondent and processing errors.
- similarly, rather than aggregating data from small areas to obtain statistics about a larger standard geographic area, published data for the larger area should be used wherever possible.
- when calculating proportions, percentages or ratios from cross-classified or small area tables, the random error introduced can be ignored except when very small cells are involved, in which case the impact on percentages and ratios can be significant.

Also note that if you were previously using the old DWP Tabulation Tool for analysis purposes, there might be small differences in the outputs displayed, precisely due to the new methodology. The latest methodology is outlined in the [Data Confidentiality](#) page of Stat-Xplore.

## Examples of research using PIP data

The following is research using the Personal Independence Payment data:

(Curnock, Leyland, & Popham, 2016); (Hancock & Pudney, 2014); (Pudney, 2016); (Ramsay, 1994); (Roulstone, 2015); (Viola & Moncrieff, 2016).

---

<sup>14</sup>. For more information, see the [NI direct](#) and [Department for Communities - NI](#) pages. ↩

<sup>15</sup>. For more information, see the [Department for Communities - NI statistics](#) pages ↩

<sup>16</sup>. See the [Department for Communities - NI statistics](#) pages for more details. ↩

<sup>17</sup>. The full procedure for each of the chambers is outlined from the gov.uk pages: ↩

- [War Pensions and Armed Forces Compensation Tribunal](#)
- [Social Entitlement Chamber procedure \(2008\)](#)
- [Health, Education & Social Care Chamber](#)
- [General Regulatory Chamber](#)
- [Tax Chamber](#)
- [Immigration and Asylum Chamber](#)
- [Property Chamber](#)



# Other Data Sources

In the course of researching compiling this report, we have come across information on other types of data that we are listing here for the interest of the researchers, in the hope that they are useful. Note that the account is not as detailed (in that we do not include information on the full process of the topic and its process of appeals and complaints – nevertheless, the links and information provided, including the contact could help researchers familiarise themselves with some of the data sources for the specific areas.

In the title of each section we also note (for ease of reference): the country the Department has a remit and possible uses of the data sources (i.e. if they can work as baseline data, appeals data or complaints data).

The data sources presented include:

## **Data by the Department for Employment and Learning (NI)**

### **Department for Employment and Learning Micro-data (Baseline)**

Clients' details are recorded on the Department's Client Management System (CMS) which is installed in JobCentres/Jobs & Benefits offices throughout Northern Ireland. This is an IT system which is used to facilitate the interface with the Department's customers. It maintains a basic client record; allows the preferred occupation stated by clients to be matched against suitable vacancies; and records actions such as interviews, referrals to training opportunities and placings into jobs etc.

The CMS has been significantly enhanced to record Steps to Work specific actions. The TMS has been significantly enhanced to record Training for Success / Programme-Led Apprenticeship specific actions, and certain permitted data fields are populated automatically whenever Training Suppliers update their records on the Trainee Management System software.

Data from the DEL Client Management System (CMS) and DEL Trainee Management System (TMS) can be negotiated by the Administrative Data Research Network (via the Administrative Data Research Centre – NI) on a project-by-project basis and be made available as [Micro-data sets](#).

Note that previously, benefits were administered in N. Ireland by the Department for Social Development, with the Department for Employment and Learning focusing on delivering work programmes.

## Data by the Department for Work and Pensions (E, S, W)

### Job Seekers Allowance Data (Baseline)

<b>At a glance:</b>	
<b>Source link</b>	<a href="https://data.gov.uk/dataset/jsa_and_esa_sanctions">https://data.gov.uk/dataset/jsa_and_esa_sanctions</a>
<b>Data Controller(s)</b>	Department for Work and Pensions
<b>Data Processor(s)</b>	Office for National Statistics
<b>Brief Description</b>	Statistics relating to the number of sanction decisions for JSA and ESA and the number of claimants sanctioned
<b>Types of Benefits included</b>	Job Seekers Allowance
<b>Access info</b>	Open data source
<b>Coverage (temporal)</b>	22/10/2012 – 30/09/2016
<b>Coverage (spatial)</b>	England, Wales, Scotland
<b>Fee charged?</b>	No
<b>Contact</b>	tracy.hills@dwp.gsi.gov.uk, 0191 216 8223

#### Brief description of the data source

The statistics present the number of sanctions imposed on people who receive Jobseeker's Allowance or Employment and Support Allowance. Data for the Statistics comes from the Decision Making and Appeals System (DMAS) database.

JSA and ESA sanction statistics are part of the [DWP quarterly statistical summary](#). This contains statistics about the number of and reasons for sanction decisions and mandatory reconsideration/appeals on these decisions.

Alongside the statistical summary DWP also publish [JSA and ESA sanction spreadsheet tables](#) giving breakdowns such as Jobcentre Plus office, decision level and customer characteristics. More detailed information is available on [Stat-Xplore](#), DWP's tool that allows users to create their own tables of statistics.

*Mandatory reconsiderations – JSA and ESA sanction decisions:* These statistics now incorporate data on mandatory reconsiderations, which must occur before a claimant can appeal to Her Majesty's Court and Tribunal Service (HMCTS). Mandatory reconsiderations were introduced in October 2013.

### **Limitations/scope/focus of data source**

New sanctions rules came into force in October 2012 for Jobseeker's Allowance (JSA) claimants and in December 2012 for Employment and Support Allowance (ESA).

*New regime for JSA from October 2012:* From October 2012, new sanctions rules for JSA were introduced:

- 3 categories of sanction – 'higher', 'intermediate' and 'lower' – depending on the nature of the offence
- different levels of sanction for first, second and third offences
- changes to the date a sanction starts

These new rules broadly align the rules for JSA sanctions with the rules for Universal Credit.

UC will not apply in NI until Sept 2017.

Previously, a sanction started from the beginning of the benefit week after the Decision Maker (DM) decided to impose the sanction. However, to ensure that claimants see the consequences of their actions or inactions sooner, the new rules enable DMs to impose sanctions at a time closer to the offence. The new sanction period begins either:

- on the first day of the benefit week in which the offence occurred, if the claimant has not been paid JSA for that week
- on the first day of the benefit week following the date the claimant was last paid JSA

The legislation for these changes is in the [Jobseeker's Allowance \(Sanctions\) \(Amendment\) Regulations 2012](#). An [overview of the new sanctions rules](#) is available through the gov.uk pages.

Note that the JSA and other unemployment benefit related sanctions have been recorded in DWP systems prior to 2000. It is unclear if data prior to that time can be made available for statistical purposes, and metadata on these data is generally limited.

**Where to find additional metadata sources:** DWP has published information about all benefit Sanction Statistics, which includes further information about the release cycle and future sanction statistics they are looking to publish. For more information, see the [Benefit Sanction Statistics Publication strategy pages](#).

**How to access:** Further breakdowns and options to produce bespoke tables is available via the [DWP Stat-Xplore tool](#).

## Jobseekers Allowance (JSA): Sanction & disallowance decision statistics (2011-2012) (Baseline)

<b>At a glance:</b>	
<b>Source name</b>	Jobseekers Allowance (JSA): Sanction & disallowance decision statistics
<b>Source Link</b>	<a href="https://data.gov.uk/dataset/jobseekers_allowance_jsa_-_sanction_disallowance_decision_statistics">https://data.gov.uk/dataset/jobseekers_allowance_jsa_-_sanction_disallowance_decision_statistics</a>
<b>Data Controller(s)</b>	Department for Work and Pensions
<b>Brief Description</b>	Statistics on Jobseekers Allowance (JSA) claimants who have had their benefit sanctioned or disallowed. The data counts referrals for variable and fixed length sanctions and entitlement decisions
<b>Types of Benefits included</b>	Job Seekers' Allowance (JSA)
<b>Access info</b>	Open data source (Freedom of Information request)
<b>Coverage (temporal)</b>	22/10/2011 to 21/10/2012
<b>Coverage (spatial)</b>	England, Wales, Scotland
<b>Fee charged?</b>	No
<b>Contact</b>	freedom-of-information-request@dwp.gsi.gov.uk

**Brief description of the data source:** The information requested was: "For the last year available, what is the number of Jobseeker's Allowance (JSA) claimants with a sanction or disallowance decision overturned on reconsideration or appeal?" and was filed on the 19 September 2013.

**Limitations/scope/focus of data source :** At the time of the response (14/10/2013) the latest year available was 22/10/2011 to 21/10/2012. Figures were rounded to the nearest ten and will include individuals who have had more than one sanction overturned e.g. if an individual has a sanction overturned upon reconsideration and another upon appeal then they will appear twice.

**How was/is the data collected:** This request was based on data from the JSA Sanctions and Disallowance Decisions Statistics Database.

**How to access:** The FOI response to the request can be downloaded from <https://www.gov.uk/government/publications/jsa-claimants-with-a-sanction-or-disallowance-decision-overturned-oct-2011-to-oct-2013>

**Any other information:** A full list of all the DWP statistical FOI releases is available from the source website.

## Customer Disputes Overpayment Decision (Baseline)

<b>At a glance:</b>	
<b>Source name</b>	Customer Disputes Overpayment Decision
<b>Source Link</b>	<a href="https://data.gov.uk/dataset/customer-disputes-overpayment-decision">https://data.gov.uk/dataset/customer-disputes-overpayment-decision</a>
<b>Data Controller(s)</b>	Department for Work and Pensions
<b>Data Processor(s)</b>	n/a
<b>Brief Description</b>	Customer level data - identifying where the customer has appealed against the overpayment decision and stopped recovery action pending the appeal result. Time Period: 14 months Update Frequency: Daily Financial Information: Not Included Data: Customer personal details
<b>Types of Benefits included</b>	Benefit overpayments (all)
<b>Access info</b>	No clear pathway to access. The source states that the dataset is not due to be released, as it contains personal data. Will be reviewed in the light of demand and prioritisation.
<b>Coverage (temporal)</b>	14 months. Updated daily.
<b>Coverage (spatial)</b>	England, Wales, Scotland
<b>Fee charged?</b>	No
<b>Contact</b>	freedom-of-information-request@dwp.gsi.gov.uk

## Social Fund decisions (Baseline)

<b>At a glance:</b>	
<b>Source name</b>	<b>Social Fund Decisions</b>
<b>Source Link</b>	<a href="https://data.gov.uk/dataset/social-fund-decisions">https://data.gov.uk/dataset/social-fund-decisions</a>
<b>Data Controller(s)</b>	Department for Work and Pensions
<b>Brief Description</b>	The Social Fund scheme helped people whose needs were difficult to meet from regular income. The Social Fund Computer System records and processes current and historical Social Fund applications for Budgeting Loans, Funeral and Maternity Grants, Crisis Loans and Community Care Grants. This data includes individual level information, as well as geographic and financial information, and is produced on a monthly basis. The information recorded includes Name, National Insurance Number, Address, Application details and Payment details.
<b>Types of Benefits included</b>	Funeral Allowance
<b>Access info</b>	No clear pathway to access. The source states that the dataset is not due to be released, as it contains personal data. Will be reviewed in the light of demand and prioritisation.
<b>Coverage (temporal)</b>	Not known
<b>Coverage (spatial)</b>	England, Wales, Scotland
<b>Fee charged?</b>	No
<b>Contact</b>	freedom-of-information-request@dwp.gsi.gov.uk

## Benefit Cap (Baseline)

<b>At a glance:</b>	
<b>Source name</b>	Benefit Cap
<b>Source Link</b>	<a href="https://data.gov.uk/dataset/benefit-cap">https://data.gov.uk/dataset/benefit-cap</a>
<b>Data Controller(s)</b>	Department for Work and Pensions
<b>Brief Description</b>	In April 2013, the government introduced a cap on the total amount of benefit that working-age people can get, so that households on out-of-work benefits will no longer get more in welfare payments than the average weekly wage for working households. These statistics cover:
<b>Types of Benefits included</b>	All benefits that can be capped. The cap applies to your household income from most benefits, including Child Tax Credit. However, there are some benefits which the cap doesn't apply to. These benefits are ignored when working out your total benefit income.
<b>Access info</b>	Open data source
<b>Coverage (temporal)</b>	(2013, April – now)
<b>Coverage (spatial)</b>	England, Wales, Scotland
<b>Fee charged?</b>	No
<b>Contact</b>	freedom-of-information-request@dwp.gsi.gov.uk

## Housing Benefit & Council Tax Benefit Summary Statistics (Baseline)

<b>At a glance:</b>	
<b>Source name</b>	Housing Benefit & Council Tax Benefit Summary Statistics
<b>Source Link</b>	<a href="https://data.gov.uk/dataset/housing_benefit_council_tax_benefit_summary_statistics">https://data.gov.uk/dataset/housing_benefit_council_tax_benefit_summary_statistics</a>
<b>Data Controller(s)</b>	Department for Work and Pensions
<b>Brief Description</b>	Statistics on Housing Benefit and Council Tax Benefit Claimants. Note: from January 2010 these will be released as part of the DWP statistical summary.
<b>Types of Benefits included</b>	Housing Benefit
<b>Access info</b>	Open data source
<b>Coverage (temporal)</b>	2008-2010
<b>Coverage (spatial)</b>	England, Wales, Scotland
<b>Fee charged?</b>	No
<b>Contact</b>	freedom-of-information-request@dwp.gsi.gov.uk

## Benefits Data: summary statistics (Baseline)



<b>At a glance:</b>	
<b>Source name</b>	Benefits Data: summary statistics
<b>Source Link</b>	<a href="https://data.gov.uk/dataset/benefits_data_-_summary_statistics">https://data.gov.uk/dataset/benefits_data_-_summary_statistics</a>
<b>Data Controller(s)</b>	Department for Work and Pensions
<b>Data Processor(s)</b>	Neighbourhood Statistics (ONS)
<b>Brief Description</b>	This dataset provides summary statistics compiled from extracts of Disability Living Allowance, Incapacity Benefit/Severe Disablement Allowance, Income Support, Jobseekers Allowance and Pension Credit categorised by gender and relevant bands of age.
<b>Types of Benefits included</b>	Disability Living Allowance
<b>Access info</b>	Open data source
<b>Coverage (temporal)</b>	2005-2008
<b>Coverage (spatial)</b>	England, Wales, Scotland
<b>Fee charged?</b>	No, but more information is necessary to fully understand the data
<b>Contact</b>	freedom-of-information-request@dwp.gsi.gov.uk

## Bereavement Benefit (Baseline)

<b>At a glance:</b>	
<b>Source name</b>	Bereavement Benefit
<b>Source Link</b>	<a href="https://data.gov.uk/dataset/bereavement-benefit">https://data.gov.uk/dataset/bereavement-benefit</a>
<b>Data Controller(s)</b>	Department for Work and Pensions
<b>Brief Description</b>	This holds personal information about claimants in receipt of bereavement benefit payments. Bereavement Benefits cover three aspects: 1) Bereavement Payment (one off payment to widow/widower 2) Widowed Parents Allowance (Weekly benefit payable to widow/widower receiving Child Benefit) 3) Bereavement Allowance weekly benefit to people aged 45 to pensionable age with no dependent children. Data contains geographical and financial information and is produced on a quarterly basis.
<b>Types of Benefits included</b>	Bereavement Payment
<b>Access info</b>	No clear pathway to access. The source note that data is not scheduled to be released, due to personal and sensitive information.
<b>Coverage (temporal)</b>	Not known
<b>Coverage (spatial)</b>	England, Wales, Scotland
<b>Fee charged?</b>	No
<b>Contact</b>	freedom-of-information-request@dwp.gsi.gov.uk

## Housing Benefit (Baseline)

<b>At a glance:</b>	
<b>Source name</b>	Housing Benefit
<b>Source Link</b>	<a href="https://data.gov.uk/dataset/housing-benefit">https://data.gov.uk/dataset/housing-benefit</a>
<b>Data Controller(s)</b>	Department for Work and Pensions
<b>Brief Description</b>	Housing Benefit is available to help people pay their rent if they are on a low income. How much is paid depends on income and circumstances. The local council pays the benefit. The data includes Housing Benefit recipients: by County, Local Authority and by tenure throughout Great Britain.
<b>Types of Benefits</b>	Housing Benefit
<b>Access info</b>	No clear pathway to access. The Source notes that “the data includes individual level information which means we are unable to release it in its raw form. We will review this in the light of demand and prioritisation. We already provide Housing Benefit statistics monthly and the latest data is also available in our online tabulation tool Stat-Xplore. <a href="https://sw.stat-xplore.dwp.gov.uk/webapi/opendatabase?id=HB_full">https://sw.stat-xplore.dwp.gov.uk/webapi/opendatabase?id=HB_full</a> ”
<b>Coverage (temporal)</b>	Not known
<b>Coverage (spatial)</b>	England, Wales, Scotland
<b>Fee charged?</b>	No
<b>Contact</b>	freedom-of-information-request@dwp.gsi.gov.uk

## Widows Benefit (Baseline)

<b>At a glance:</b>	
<b>Source name</b>	Widows Benefit
<b>Source Link</b>	<a href="https://data.gov.uk/dataset/widows_benefit">https://data.gov.uk/dataset/widows_benefit</a>
<b>Data Controller(s)</b>	Department for Work and Pensions
<b>Data Processor(s)</b>	Department for Work and Pensions
<b>Brief Description</b>	Benefits payable for Widows
<b>Types of Benefits included</b>	Widows Benefit
<b>Access info</b>	Open data source
<b>Coverage (temporal)</b>	Not known
<b>Coverage (spatial)</b>	England, Wales, Scotland
<b>Fee charged?</b>	No
<b>Contact</b>	freedom-of-information-request@dwp.gsi.gov.uk

## Bereavement Benefits (Baseline)

<b>At a glance:</b>	
<b>Source name</b>	Bereavement benefits
<b>Source Link</b>	<a href="https://data.gov.uk/dataset/bereavement_benefits">https://data.gov.uk/dataset/bereavement_benefits</a>
<b>Data Controller(s)</b>	Department for Work and Pensions
<b>Brief Description</b>	Bereavement Benefits consists of three main benefit payments
<b>Types of Benefits included</b>	Bereavement Payment
<b>Access info</b>	Open data source
<b>Coverage (temporal)</b>	2002-2009
<b>Coverage (spatial)</b>	England, Wales, Scotland
<b>Fee charged?</b>	No
<b>Contact</b>	freedom-of-information-request@dwp.gsi.gov.uk

## Widows Benefit/Bereavement Benefit (Baseline)

<b>At a glance:</b>	
<b>Source name</b>	Widows Benefit/Bereavement Benefit
<b>Source Link</b>	<a href="https://data.gov.uk/dataset/widows_benefit-bereavement_benefit">https://data.gov.uk/dataset/widows_benefit-bereavement_benefit</a>
<b>Data Controller(s)</b>	Department for Work and Pensions
<b>Data Processor(s)</b>	Department for Work and Pensions
<b>Brief Description</b>	Claimants who either a) were claiming the Widows Benefit/Bereavement Benefit (stocks) on the count date, b) ended a claim (off-flows) during the previous accounting month or c) started a new claim (on-flows) during the previous accounting month.
<b>Types of Benefits included</b>	Widows Benefit/Bereavement Benefit
<b>Access info</b>	Open data source
<b>Coverage (temporal)</b>	1999-2009
<b>Coverage (spatial)</b>	England, Wales, Scotland
<b>Fee charged?</b>	No
<b>Contact</b>	freedom-of-information-request@dwp.gsi.gov.uk

## Veterans Tribunal Decisions (Appeals)

<b>At a glance:</b>	
<b>Source name</b>	Veterans Tribunal Decisions
<b>Source Link</b>	<a href="https://data.gov.uk/dataset/tribunal-decisions">https://data.gov.uk/dataset/tribunal-decisions</a>
<b>Data Controller(s)</b>	Department for Work and Pensions
<b>Data Processor(s)</b>	Service Personnel and Veterans Agency
<b>Brief Description</b>	Details of veteran claimants including NINO and amounts award increased.
<b>Types of Benefits included</b>	Appeals for all war/veteran related benefits
<b>Access info</b>	No clear pathway to access. The source states that there is no intention of publishing the data further.
<b>Coverage (temporal)</b>	n/k
<b>Coverage (spatial)</b>	England, Wales, Scotland
<b>Fee charged?</b>	No
<b>Contact</b>	freedom-of-information-request@dwp.gsi.gov.uk

## Child Maintenance Appeals (Appeals)

<b>At a glance:</b>	
<b>Source name</b>	Child Maintenance Appeals
<b>Source Link</b>	<a href="https://data.gov.uk/dataset/child-maintenance-appeals">https://data.gov.uk/dataset/child-maintenance-appeals</a>
<b>Data Controller(s)</b>	Department for Work and Pensions
<b>Data Processor(s)</b>	n/a
<b>Brief Description</b>	The Appeals Tracking System is a small system used to assist the tracking of child maintenance appeals, Advanced Departures and Advanced Variations.
<b>Types of Benefits included</b>	Child Maintenance
<b>Access info</b>	No clear pathway to access. The source notes that the data is not due to be released, as it contains personal data, but requests will be reviewed in the light of demand and prioritisation.
<b>Coverage (temporal)</b>	Not known
<b>Coverage (spatial)</b>	England, Wales, Scotland
<b>Fee charged?</b>	no
<b>Contact</b>	freedom-of-information-request@dwp.gsi.gov.uk

## Data by the Department for Communities and Local Government (E, W, S)

### Homelessness Decisions, England by District (Baseline)

<b>At a glance:</b>	
<b>Source name</b>	Homelessness Decisions, England, District
<b>Source Link</b>	<a href="https://data.gov.uk/dataset/homelessness-decisions-england-district">https://data.gov.uk/dataset/homelessness-decisions-england-district</a>
<b>Data Controller(s)</b>	Department for Communities and Local government
<b>Data Processor(s)</b>	Department for Communities and Local government
<b>Brief Description</b>	Decisions on whether a household is homeless and in priority need.
<b>Types of Benefits</b>	Hardship payment
<b>Access info</b>	Open data source
<b>Coverage (temporal)</b>	Not known
<b>Coverage (spatial)</b>	England
<b>Fee charged?</b>	No
<b>Contact</b>	<b>Enquiries:</b> ODC@communities.gsi.gov.uk

## Homelessness: Total decisions made (Baseline)



<b>At a glance:</b>	
<b>Source name</b>	Homelessness: Total decisions made
<b>Source Link</b>	<a href="https://data.gov.uk/dataset/homelessness-total-decisions-made">https://data.gov.uk/dataset/homelessness-total-decisions-made</a>
<b>Data Controller(s)</b>	Department for Communities and Local Government
<b>Data Processor(s)</b>	Department for Communities and Local Government
<b>Brief Description</b>	Local authorities' action under the homelessness provisions of the 1985 & 1996 Housing Acts, by district. This includes statistics on: Households accepted as being homeless and in priority need, by ethnicity. Total decisions made by local housing authorities where the household has been found to be eligible for assistance. Households found to be eligible and in priority need but intentionally homeless Households found to be eligible but not in priority need Households found to be eligible but not homeless Households in temporary accommodation on the last day of the financial year by type of accommodation. Households accepted as being owed a main homelessness duty and for whom arrangements have been made for them, with consent, to remain in their existing accommodation (or to make their own arrangements) for the immediate future. Previously referred to as 'Homeless at Home'.
<b>Types of Benefits</b>	n/a
<b>Access info</b>	Open data source
<b>Coverage (temporal)</b>	Not known
<b>Coverage (spatial)</b>	England
<b>Fee charged?</b>	No
<b>Contact</b>	<b>Enquiries:</b> ODC@communities.gsi.gov.uk

## Data by the Department for Communities (NI)

See also the data sources mentioned in the ESA and PIP benefit sections. Here we list additional data sources:

## Homelessness Statistics (Baseline)

<b>At a glance:</b>	
<b>Source name</b>	Northern Ireland Housing Statistics
<b>Source Link</b>	<a href="http://www.gov.scot/Topics/Statistics/Browse/Housing-Regeneration/RefTables">http://www.gov.scot/Topics/Statistics/Browse/Housing-Regeneration/RefTables</a>
<b>Data Controller(s)</b>	Department for Communities (NI)
<b>Brief Description</b>	The Northern Ireland Housing Statistics report is an annual compendium of statistics containing information on a range of areas relating to housing.
<b>Access info</b>	Open data source (2012-2016)
<b>Coverage (temporal)</b>	1999-2016
<b>Coverage (spatial)</b>	N. Ireland
<b>Fee charged?</b>	No
<b>Contact</b>	asu@communities-ni.gov.uk

## Data by HM Revenue and Customs (E, W, S, NI)

### Child Benefit (Baseline)

<b>At a glance:</b>	
<b>Source name</b>	Child Benefit
<b>Source Link</b>	<a href="https://data.gov.uk/dataset/child_benefit">https://data.gov.uk/dataset/child_benefit</a>
<b>Data Controller(s)</b>	HM Revenue and Customs
<b>Data Processor(s)</b>	Office for National Statistics; HM Customs and Revenue
<b>Brief Description</b>	Information about Child Benefit Families, (and the child/ren) being claimed for
<b>Types of Benefits</b>	Child Benefit
<b>Access info</b>	Open data source
<b>Coverage (temporal)</b>	1999 to 2006
<b>Coverage (spatial)</b>	England, Wales, Scotland, N. Ireland; Lower Layer Super Output Area (LSOA), Middle Layer Super Output Area (MSOA), Ward, Local Authority District (LAD), County/Unitary Authority, Government Office Region (GOR),
<b>Fee charged?</b>	No
<b>Contact</b>	<b>Enquiries:</b> <a href="mailto:access2data@ons.gsi.gov.uk">access2data@ons.gsi.gov.uk</a>

## HMRC Reviews and Appeals (Appeals)

<b>At a glance:</b>	
<b>Source name</b>	HMRC reviews and appeals
<b>Source Link</b>	<a href="https://data.gov.uk/dataset/hmrc-reviews-and-appeals">https://data.gov.uk/dataset/hmrc-reviews-and-appeals</a>
<b>Data Controller(s)</b>	HM Revenue and Customs
<b>Data Processor(s)</b>	HM Revenue and Customs
<b>Brief Description</b>	Paper containing information and analysis about reviews of, and appeals against, HMRC's tax decisions.
<b>Related Jurisdiction</b>	Civil
<b>Access info</b>	Open data source
<b>Coverage (temporal)</b>	01/04/2011 to 31/03/2013
<b>Coverage (spatial)</b>	England, Wales, Scotland
<b>Fee charged?</b>	no
<b>Contact</b>	<b>Enquiries:</b> <a href="mailto:transparency.kai@hmrc.gsi.gov.uk">transparency.kai@hmrc.gsi.gov.uk</a>

## Data by the Citizen's Advice (E, W, S, NI)

### Advice Trends (2011-2017) (Baseline, Appeals, Complaints)

<b>At a glance:</b>	
<b>Source name</b>	Citizen's Advice: Advice Trends
<b>Source Link</b>	<a href="https://www.citizensadvice.org.uk/about-us/difference-we-make/advice-trends/">https://www.citizensadvice.org.uk/about-us/difference-we-make/advice-trends/</a>
<b>Data Controller(s)</b>	Citizen's Advice
<b>Brief Description</b>	Advice trends summarises Citizens Advice service top level statistics. It is aimed at national government departments, regional agencies; third sector organisations concerned with advice or policy, and policy researchers.
<b>Types of Benefits included</b>	All
<b>Access info</b>	Open data source. Includes various visualizations of the trends using Tableau.
<b>Coverage (temporal)</b>	2011-2017
<b>Coverage (spatial)</b>	England, Wales, Scotland
<b>Fee charged?</b>	Not known
<b>Contact</b>	

## Data by the Valuation Tribunal Service (E, W)

### Appeals against property tax and valuation matters (Appeals)

<b>At a glance:</b>	
<b>Source name</b>	Appeals against property tax and valuation matters
<b>Source Link</b>	<a href="https://data.gov.uk/dataset/appeals-database">https://data.gov.uk/dataset/appeals-database</a>
<b>Data Controller(s)</b>	Valuation Tribunal Service
<b>Brief Description</b>	The source reference only notes that the Valuation Tribunal service hold data on appeals against property tax and valuation matters.
<b>Types of Benefits included</b>	All
<b>Access info</b>	No clear pathway to access. The source notes that release would be dependent on establishing an appropriate way of removing sensitive personal data and data which may prejudice appeals.
<b>Coverage (temporal)</b>	Not known
<b>Coverage (spatial)</b>	England, Wales
<b>Fee charged?</b>	Not known
<b>Contact</b>	check <a href="http://valuation-tribunals-wales.org.uk/home.html">http://valuation-tribunals-wales.org.uk/home.html</a> (W) or <a href="https://www.valuationtribunal.gov.uk/">https://www.valuationtribunal.gov.uk/</a> (E) for more information

## Data by the Ministry of Justice (E, W, S)

### Tribunal Service Quarterly statistics (Appeals)

<b>At a glance:</b>	
<b>Source name</b>	Tribunal Service quarterly statistics
<b>Source Link</b>	<a href="https://www.gov.uk/government/collections/tribunals-statistics">https://www.gov.uk/government/collections/tribunals-statistics</a>
<b>Data Controller(s)</b>	Ministry of Justice
<b>Brief Description</b>	Quarterly report on Tribunal performance statistics including volumetrics and performance indicators.
<b>Related Jurisdiction</b>	Tribunal
<b>Access info</b>	Open data source
<b>Coverage (temporal)</b>	2010-2014
<b>Coverage (spatial)</b>	England, Wales, Scotland
<b>Fee charged?</b>	no
<b>Contact</b>	not known

## Ministry of Justice Freedom of Information requests (FOI) (Baseline)

<b>At a glance:</b>	
<b>Source name</b>	Ministry of Justice Freedom of information requests
<b>Source Link</b>	<a href="https://www.judiciary.gov.uk/foi/">https://www.judiciary.gov.uk/foi/</a>
<b>Data Controller(s)</b>	Ministry of Justice
<b>Brief Description</b>	All the information MoJ have released in response to Freedom of Information requests made to the Ministry of Justice and its agencies.
<b>Related Jurisdiction</b>	Civil, Family, Criminal, Tribunal
<b>Access info</b>	Open data source
<b>Coverage (temporal)</b>	2009-2017
<b>Coverage (spatial)</b>	England, Wales, Scotland
<b>Fee charged?</b>	No
<b>Contact</b>	<a href="https://www.gov.uk/make-a-freedom-of-information-request/the-freedom-of-information-act">https://www.gov.uk/make-a-freedom-of-information-request/the-freedom-of-information-act</a>

## HMCTS Language Services Information System (Baseline, Appeals)



<b>At a glance:</b>	
<b>Source name</b>	Her Majesty's Courts & Tribunals Service language services information system
<b>Source Link</b>	<a href="https://data.gov.uk/dataset/her-majestys-courts-tribunals-service-language-services-information-system">https://data.gov.uk/dataset/her-majestys-courts-tribunals-service-language-services-information-system</a>
<b>Data Controller(s)</b>	Ministry of Justice
<b>Brief Description</b>	Requests for face-to-face language services completed under the national Language Services Framework Agreement (commencing on 30th January 2012), and complaints made, by Criminal Justice System partner (e.g. criminal courts, tribunals etc).
<b>Related Jurisdiction</b>	Criminal
<b>Access info</b>	No clear pathway to access. Source mentions that this is an unpublished dataset and a record for data which is not published
<b>Coverage (temporal)</b>	30/01/2012- now
<b>Coverage (spatial)</b>	England, Wales, Scotland
<b>Fee charged?</b>	No
<b>Contact</b>	Data.access@justice.gsi.gov.uk

## Civil Justice Statistics Quarterly (Appeals)

<b>At a glance:</b>	
<b>Source name</b>	Civil justice statistics quarterly
<b>Source Link</b>	<a href="https://www.gov.uk/government/collections/civil-justice-statistics-quarterly">https://www.gov.uk/government/collections/civil-justice-statistics-quarterly</a>
<b>Data Controller(s)</b>	Ministry of Justice
<b>Brief Description</b>	These figures give a summary overview of the volume of civil and judicial review cases dealt with by the courts over time and the overall timeliness of these cases.
<b>Related Jurisdiction</b>	Civil
<b>Access info</b>	Open data source
<b>Coverage (temporal)</b>	2012-2016
<b>Coverage (spatial)</b>	England, Wales, Scotland
<b>Fee charged?</b>	No
<b>Contact</b>	Data.access@justice.gsi.gov.uk

## Mortgage and Landlord Possession Statistics (Baseline)

<b>At a glance:</b>	
<b>Source name</b>	Mortgage and Landlord possession statistics
<b>Source Link</b>	<a href="https://www.gov.uk/government/collections/mortgage-and-landlord-possession-statistics">https://www.gov.uk/government/collections/mortgage-and-landlord-possession-statistics</a>
<b>Data Controller(s)</b>	Ministry of Justice
<b>Brief Description</b>	The bulletin presents the latest statistics on the numbers of mortgage and landlord possession actions in the county courts of England and Wales. These statistics are a leading indicator of the number of properties to be repossessed and the only source of sub-national possession information. In addition to monitoring court workloads, they are used to assist in the development, monitoring and evaluation of policy both nationally and locally.
<b>Related Jurisdiction</b>	Civil
<b>Access info</b>	Open data source
<b>Coverage (temporal)</b>	2012-2016
<b>Coverage (spatial)</b>	England, Wales
<b>Fee charged?</b>	No
<b>Contact</b>	Data.access@justice.gsi.gov.uk

## Coroner's and Burials Statistics (Baseline)

<b>At a glance:</b>	
<b>Source name</b>	Coroners and Burials Statistics
<b>Source Link</b>	<a href="https://www.gov.uk/government/collections/coroners-and-burials-statistics">https://www.gov.uk/government/collections/coroners-and-burials-statistics</a>
<b>Data Controller(s)</b>	Ministry of Justice
<b>Brief Description</b>	Annual National Statistics on deaths reported to coroners, including inquests and post-mortems held, inquest conclusions recorded and finds reported to coroners under treasure legislation.
<b>Related Jurisdiction</b>	Civil
<b>Access info</b>	Open data source
<b>Coverage (temporal)</b>	2007-2015
<b>Coverage (spatial)</b>	England, Wales, Scotland
<b>Fee charged?</b>	No
<b>Contact</b>	Data.access@justice.gsi.gov.uk

## Family Court Statistics Quarterly (Baseline, Appeals)

<b>At a glance:</b>	
<b>Source name</b>	Family court statistics quarterly
<b>Source Link</b>	<a href="https://www.gov.uk/government/collections/family-court-statistics-quarterly">https://www.gov.uk/government/collections/family-court-statistics-quarterly</a>
<b>Data Controller(s)</b>	Ministry of Justice
<b>Brief Description</b>	A collection giving National Statistics on activity in the family courts of England and Wales.
<b>Related Jurisdiction</b>	Family
<b>Access info</b>	Open data source
<b>Coverage (temporal)</b>	2014-2016
<b>Coverage (spatial)</b>	England, Wales
<b>Fee charged?</b>	No
<b>Contact</b>	Data.access@justice.gsi.gov.uk

## Legal Aid Statistics (Appeals)

<b>At a glance:</b>	
<b>Source name</b>	Legal Aid statistics
<b>Source Link</b>	<a href="https://www.gov.uk/government/collections/legal-aid-statistics">https://www.gov.uk/government/collections/legal-aid-statistics</a>
<b>Data Controller(s)</b>	Ministry of Justice
<b>Brief Description</b>	These reports present the key statistics on activity in the legal aid system for England and Wales.
<b>Related Jurisdiction</b>	Civil
<b>Access info</b>	Open data source
<b>Coverage (temporal)</b>	2012-2016
<b>Coverage (spatial)</b>	England, Wales
<b>Fee charged?</b>	No
<b>Contact</b>	Data.access@justice.gsi.gov.uk

## HM Courts and Tribunals Service - GAPS2 system data (Appeals)

<b>At a glance:</b>	
<b>Source name</b>	GAPS2
<b>Source Link</b>	<a href="https://data.gov.uk/dataset/gaps2">https://data.gov.uk/dataset/gaps2</a>
<b>Data Controller(s)</b>	HM Courts Service
<b>Brief Description</b>	GAPS2 is a case management system for progressing special education needs and social security and child support appeals. Includes financial information of families and third parties involved in the appeal process if applicable.
<b>Related Jurisdiction</b>	Civil
<b>Access info</b>	No clear pathway to access.
<b>Coverage (temporal)</b>	Not known
<b>Coverage (spatial)</b>	Not known
<b>Fee charged?</b>	No
<b>Contact</b>	Data.access@justice.gsi.gov.uk

## HM Courts and Tribunals Service - MARTHA system data (Appeals)

<b>At a glance:</b>	
<b>Source name</b>	MARTHA
<b>Source Link</b>	<a href="https://data.gov.uk/dataset/martha">https://data.gov.uk/dataset/martha</a>
<b>Data Controller(s)</b>	HM Courts Service
<b>Brief Description</b>	MARTHA is a case management system for supporting mental health tribunals. Details include name, sex, date of birth and address of applicant, type of claim, personal details of third parties involved, details of solicitors and judges if applicable, dates of hearing, location of hearing, documents involved and recorded outcomes and adjournments.
<b>Related Jurisdiction</b>	Civil
<b>Access info</b>	No clear pathway to access.
<b>Coverage (temporal)</b>	Not known
<b>Coverage (spatial)</b>	Not known
<b>Fee charged?</b>	No
<b>Contact</b>	Data.access@justice.gsi.gov.uk

## Tribunals Service Case Management Systems (Appeals)

<b>At a glance:</b>	
<b>Source name</b>	Tribunals Service Case Management systems
<b>Source Link</b>	<a href="https://data.gov.uk/dataset/tribunals-service-case-management-systems-including-aria-ethos-and-caseflow-gaps-2-martha-cica-@2013-09-03T10%3A04%3A23.776196">https://data.gov.uk/dataset/tribunals-service-case-management-systems-including-aria-ethos-and-caseflow-gaps-2-martha-cica-@2013-09-03T10%3A04%3A23.776196</a>
<b>Data Controller(s)</b>	HM Courts Service
<b>Brief Description</b>	Tribunals Service Case Management systems including: ARIA, ETHOS (and Caseflow), GAPs 2, MARTHA, CICA and a set of SQL and Access based systems, and manual case records.
<b>Related Jurisdiction</b>	Civil
<b>Access info</b>	No clear pathway to access.
<b>Coverage (temporal)</b>	Not known
<b>Coverage (spatial)</b>	Not known
<b>Fee charged?</b>	No
<b>Contact</b>	Data.access@justice.gsi.gov.uk

## Employment Tribunal and EAT Statistics (Appeals)



<b>At a glance:</b>	
<b>Source name</b>	Employment Tribunal and EAT Statistics
<b>Source Link</b>	<a href="https://data.gov.uk/dataset/employment_tribunal_and_eat_statistics">https://data.gov.uk/dataset/employment_tribunal_and_eat_statistics</a>
<b>Data Controller(s)</b>	Ministry of Justice
<b>Brief Description</b>	This report presents annual statistical information on Employment Tribunals (ET) and Employment Appeal Tribunals (EAT) in Great Britain.
<b>Related Jurisdiction</b>	Tribunal
<b>Access info</b>	Open data source
<b>Coverage (temporal)</b>	2010-2011
<b>Coverage (spatial)</b>	England, Wales, Scotland
<b>Fee charged?</b>	No
<b>Contact</b>	mojtransparency@justice.gsi.gov.uk ; data.access@justice.gsi.gov.uk

## HM Courts and Tribunals Service (HMCTS) Performance Database (Baseline, Appeals)

<b>At a glance:</b>	
<b>Source name</b>	Her Majesty's Courts and Tribunals Service (HMCTS) Performance Database
<b>Source Link</b>	<a href="https://data.gov.uk/dataset/her-majestys-courts-and-tribunals-service-hmcts-performance-database">https://data.gov.uk/dataset/her-majestys-courts-and-tribunals-service-hmcts-performance-database</a>
<b>Data Controller(s)</b>	Ministry of Justice
<b>Brief Description</b>	An intranet system that pulls together a cross section of data from a number of the case management systems used at all the different Courts and Tribunals across England and Wales; Aria, Martha, Gaps2, Crest, Juror, Care monitoring system.
<b>Related Jurisdiction</b>	Civil
<b>Access info</b>	No clear pathway to access.
<b>Coverage (temporal)</b>	Not known
<b>Coverage (spatial)</b>	England, Wales
<b>Fee charged?</b>	No
<b>Contact</b>	mojtransparency@justice.gsi.gov.uk ; data.access@justice.gsi.gov.uk

## Legal Aid Work and Civil Representation means and merits (CIS) (Baseline, Appeals)

<b>At a glance:</b>	
<b>Source name</b>	CIS (Legal Aid Work and Civil Representation means & merits)
<b>Source Link</b>	<a href="https://data.gov.uk/dataset/corporate-information-systems-cis">https://data.gov.uk/dataset/corporate-information-systems-cis</a>
<b>Data Controller(s)</b>	Ministry of Justice
<b>Brief Description</b>	Contains client information in both crime and civil cases, personal details, providers of legal services details, details of fees, appeal case information. Holds Legal Aid Work relating to Civil Representation Means & Merits, Civil Representation Case Management including The Statutory Charge, Cash receipting, Client & Provider payments, Billing (Civil Rep, Mediation, Magistrates Court Non Standard Fees, High Cost Cases)
<b>Related Jurisdiction</b>	Civil
<b>Access info</b>	No clear pathway to access.
<b>Coverage (temporal)</b>	Not known
<b>Coverage (spatial)</b>	Not known
<b>Fee charged?</b>	no
<b>Contact</b>	mojtransparency@justice.gsi.gov.uk ; data.access@justice.gsi.gov.uk

## Data by the Scottish Government (S)

### Criminal Appeal Statistics, Scotland (Appeals)

<b>At a glance:</b>	
<b>Source name</b>	Criminal Appeal Statistics, Scotland
<b>Source Link</b>	<a href="https://data.gov.uk/dataset/criminal_appeal_statistics_scotland">https://data.gov.uk/dataset/criminal_appeal_statistics_scotland</a>
<b>Data Controller(s)</b>	Scottish Government
<b>Brief Description</b>	Statistics on the number of criminal appeals against conviction and sentence, by type of appeal and outcome. This bulletin presents statistics on criminal appeals concluded in the High Court of Judiciary.
<b>Related Jurisdiction</b>	Criminal
<b>Access info</b>	Open data source
<b>Coverage (temporal)</b>	2008-2009
<b>Coverage (spatial)</b>	Scotland
<b>Fee charged?</b>	No
<b>Contact</b>	Enquiries on this publication should be addressed to:

## Homelessness Statistics (Baseline)

<b>At a glance:</b>	
<b>Source name</b>	Homelessness in Scotland
<b>Source Link</b>	<a href="http://www.gov.scot/Topics/Statistics/Browse/Housing-Regeneration/RefTables">http://www.gov.scot/Topics/Statistics/Browse/Housing-Regeneration/RefTables</a>
<b>Data Controller(s)</b>	Scottish Government
<b>Brief Description</b>	This publication gives an overview of key trends and features of homelessness in Scotland. It provides information on homelessness applications, assessments and outcomes to 31 March 2017. Data on households in temporary accommodation as at 31 March 2017 are also presented, together with data on households placed in unsuitable accommodation.
<b>Access info</b>	Open data source
<b>Coverage (temporal)</b>	2010-2017
<b>Coverage (spatial)</b>	Scotland
<b>Fee charged?</b>	No
<b>Contact</b>	homelessness_statistics_inbox@gov.scot

## Data by the Disclosure and Barring Service (E, W, S, NI)

### Disclosure and Barring Service: Barring Cases and appeals (Baseline, Appeals)

<b>At a glance:</b>	
<b>Source name</b>	Disclosure and Barring Service: barring cases and appeals
<b>Source Link</b>	<a href="https://data.gov.uk/dataset/disclosure-and-barring-service-barring-cases-and-appeals">https://data.gov.uk/dataset/disclosure-and-barring-service-barring-cases-and-appeals</a>
<b>Data Controller(s)</b>	Disclosure and Barring Service
<b>Brief Description</b>	Dataset relating to DBS performance regarding barring cases and appeals against barring decisions, measured against internal performance standards.
<b>Related Jurisdiction</b>	Tribunal
<b>Access info</b>	Open data source
<b>Coverage (temporal)</b>	2014-2015
<b>Coverage (spatial)</b>	England, Wales, Scotland
<b>Fee charged?</b>	No
<b>Contact</b>	<b>Enquiries:</b> customerservices@dbs.gsi.gov.uk

## Data by the Judicial Appointments Commission (E, W, S, NI)

### Judicial Appointments Commission Statistics (Baseline)

<b>At a glance:</b>	
<b>Source name</b>	Judicial Appointments Commission statistics
<b>Source Link</b>	<a href="https://jac.judiciary.gov.uk/jac-official-statistics">https://jac.judiciary.gov.uk/jac-official-statistics</a>
<b>Data Controller(s)</b>	Judicial Appointments Commission
<b>Brief Description</b>	The official statistics publications present statistics on applications, shortlisting and recommendations for the appointment of judges in selection exercises. The statistics are used to monitor and evaluate the diversity of applications and JAC recommendations for judicial office.
<b>Related Jurisdiction</b>	Civil
<b>Access info</b>	Open data source
<b>Coverage (temporal)</b>	2009-2016
<b>Coverage (spatial)</b>	England, Wales, Scotland
<b>Fee charged?</b>	No
<b>Contact</b>	communications@jac.gsi.gov.uk

## Data by the Courts and Tribunals Judiciary (E, W, S, NI)

### Courts and Tribunals Judiciary Transcripts (Baseline, Appeals)

<b>At a glance:</b>	
<b>Source name</b>	Courts and Tribunals Judiciary Transcripts
<b>Source Link</b>	<a href="https://www.judiciary.gov.uk/publications/page/2/?filter_type=publication&amp;search=court%20transcript%20OR%20video">https://www.judiciary.gov.uk/publications/page/2/?filter_type=publication&amp;search=court%20transcript%20OR%20video</a>
<b>Data Controller(s)</b>	Courts and Tribunals Judiciary
<b>Brief Description</b>	Court transcripts and videos from the Courts and Tribunals Judiciary. Data is available openly, but not in a research-ready format, hence researchers will need to do a bit of work in downloading all the transcripts and videos and putting them together in a coherent format before they can do analysis.
<b>Related Jurisdiction</b>	Tribunal
<b>Access info</b>	Open data source
<b>Coverage (temporal)</b>	Not known
<b>Coverage (spatial)</b>	England, Wales, Scotland
<b>Fee charged?</b>	No
<b>Contact</b>	press.enquiries@judiciary.gsi.gov.uk

## Data by the Ministry of Defence (E, W, S, NI)

### Service Courts Information Management (SCIM) (Baseline, Appeals)



<b>At a glance:</b>	
<b>Source name</b>	Service Courts Information Management (SCIM)
<b>Source Link</b>	<a href="https://data.gov.uk/dataset/scim">https://data.gov.uk/dataset/scim</a>
<b>Data Controller(s)</b>	Ministry of Defence
<b>Brief Description</b>	Service Courts Information Management SCIM is a DII based computer database containing all Court Martial, Summary Appeal, Service Civilian Court and Custody case work for all Services and civilians who work under Service law.
<b>Related Jurisdiction</b>	Military
<b>Access info</b>	No clear pathway to access. Source notes that the data is personal data and cannot be made available.
<b>Coverage (temporal)</b>	Not known
<b>Coverage (spatial)</b>	Not known
<b>Fee charged?</b>	no
<b>Contact</b>	Not known

## **Data by the Criminal Cases Review Commission (E, W, NI)**

### **VECTUS (Criminal Case Review Commission Database for cases) (Baseline, Appeals)**

<b>At a glance:</b>	
<b>Source name</b>	VECTUS (Criminal Case Review Commission database for cases)
<b>Source Link</b>	<a href="https://data.gov.uk/dataset/vectus">https://data.gov.uk/dataset/vectus</a>
<b>Data Controller(s)</b>	Criminal Cases Review Commission
<b>Brief Description</b>	The Criminal Cases Review Commission is the independent public body set up to investigate possible miscarriages of justice. The Commission assesses whether convictions or sentences should be referred to a court of appeal.
<b>Related Jurisdiction</b>	Criminal
<b>Access info</b>	No clear pathway to access.
<b>Coverage (temporal)</b>	England, Wales, N. Ireland
<b>Coverage (spatial)</b>	Not known
<b>Fee charged?</b>	no
<b>Contact</b>	Not known

## Examples of research using appeals data

The following papers are related to Courts and Tribunals research data:

Burgess, Corby, & Latreille, 2012; Cane, 2009; Carnwath, 2011; Chamberlain, 2016; Clark, 1999; Cowley, 2015; Ferencz & McGuire, 2000; Ghauri, n.d.; Jewell, Dean, Fahy, & Cullen, 2017; Khan & Sloane, 2007; Knight & Latreille, 2000; Longley & James, 1999; Mackenzie & Sands, 2003; Macrory, 2010; Marinescu, 2011; Ndekugri, 2016; O'Brien, Mellsop, McDonald, & Ruthe, 1995; E Perkins, 2002; Elizabeth Perkins, 2003; Rosenthal & Budjanovcanin, 2011; Sarkar & Adshead, 2005; Sisler, 2011; Thomas, 2016; Thompson, 2010; Wood, Saundry, & Latreille, 2017

# Where to go from here

## Some Observations

### An ever-changing landscape

The world data and governance seems to be in a time of rapid change, as the policy makers realise the importance of evidence and data in shaping the future of society. In the course of writing this report, the UK acquired for the first time a legal framework enabling government departments to share data with researchers for research purposes (Digital Economy Act, 2017), HMRC data became available for uses other than tax policy research, the Department of Work and Pensions released data for 13 of its core benefits and decisions (up from 2 in its beta form).

In March 2016, Scotland acquired new devolved powers on some tax and welfare and employment support benefits (Scotland Act 2016). Scotland is expected to acquire legislative control over 11 benefits after June 2017 and executive responsibility of all devolved benefits by April 2020<sup>18</sup>. In addition to potentially introducing another variation in the types of data collected and a different set of administration and decision policies, the devolution of the powers will mean that more organisations will be involved as data controllers for data generated after that time, and that there will most likely break the continuum in the data collection of the devolved benefits.

This implies that sometime in the near future the way information about some of the benefits included here change, as administrative responsibilities transition from central government to the Scottish government.

All the above are some of the reasons why, any attempt to produce a comprehensive audit of the data landscape is nearly impossible and this report is bound to have missed key changes and information in it going out of date very quickly. See item (d) in this section though for a way forward.

### Data (II)literacy

In the last decade or so, there have been great changes in the burden placed upon researchers when it comes to empirical research. Not only are researchers expected to have a thorough knowledge of the methodology of analysing both quantitative and qualitative data, but they are also expected to be data literate and know how to find their way around a complex system of governance (and data governance nonetheless) to get that data for their research. Shifting the culture to data-driven, accountable, empirical policymaking is a long

process and change relies not just in data owners making available data for research, but also researchers being able and willing to use them for research that will impact society in a positive way and improve everyone's lives. Researchers should seek every opportunity to collaborate with peers and policy makers to advance science and ensure that policy making is as well-informed as possible.

## **There is no consistency**

There is great variety in the types of data researchers can use for research, both in terms of the quality, the coverage, the documentation as well as the process they have to go through to access it:

### ***Availability, Volume and Quality***

We found that the remarks of the [Administrative Data Taskforce report](#) – applied in most cases, although steps are being taken to transition to a more data-friendly and research friendly direction<sup>19</sup>. While in this transition phase though, it is inevitable that there will be great inconsistency in what data, how many and of which quality will be made available for research.

Some government departments (like DWP) are more data-minded and have made available (and are in the process of making available) more and more data, in a well-documented format for researchers to access (which they can also analyse online without a need to download everything) via their online tool (StatXplore). Others (like the HMCTS in England, Wales and Scotland or NI CTS/TAS in N. Ireland) publish some data in the form of word or pdf versions of the decisions and judgements, but not in a consistent tabular format that will facilitate statistical analysis.

The researcher is the one that most of the times will be tasked with selecting what is relevant for their research and what can be achieved within the related timescale that they have.

### ***Method of Access***

The process of negotiating and accessing data as well as the terms and conditions vary greatly, depending on the types of data requested, the data owners and how they have agreed with users of their service that their data will be used. Researchers are encouraged to have a look at the “How to access” sections for each of the datasets listed in this report. If negotiating access to a data source that is not already available via a clearly defined pathway, it is advisable that you enquire what is possible as early as possible in the negotiation process.

### ***Coverage***

Spatial coverage will depend on the topic and the remit of the government department or executive agency you are liaising with. A good way to find out is via their respective websites or by enquiring with their service staff directly. Temporal coverage is usually straightforward if the administrative process has not changed much over the years and the department's record retention policy ensures records are kept for a long time. Note that there are great variations in these though: for example HMRC has a policy of retaining all of its tax records, some departments – like the dental health records held by GPs and the NHS Business Services Authorities are only kept for 5 years. Also, note that in the case where the administrative process has changed – e.g. if a benefit was replaced with another – data might not be cross comparable across.

### **Ownership**

Identifying who is the owner of the data (the *Data Controller* as per the Information Commissioner's Office definition) is not quite straightforward, as the department that collects the information might not necessarily be the one making decisions about the data. An example of this is the JobCentre data – these are collected by staff at individual centres across the country – these are submitted to the Department for Work and Pensions who are the ones deciding what can be done with the data and who can access it. Quite a lot of the data collected at the Local Authorities level is also submitted to central government departments – and they might have the right to let you access it. Understanding how the data flows (i.e. moves from organization to organization) and under what terms is crucial in understanding who you need to sign a *Data Sharing Agreement* with (i.e. a contract-like document giving you and/or your institution permission to acquire the data and use them for your project).

Sometimes data are collected and managed by private companies on behalf of government departments – this could prove to be a barrier if for example the government department cannot make it available for research because they are not the data owners.

## **The future is collaborative**

The current work is an organic resource – as things are changing and as we get a better understanding of the field of [Administrative Justice Research and its research landscape](#), we rely on everyone to help keep it up to date and enriched with data sources as much as possible.

Rather than a couple of people working on the report enquiring and collecting the information, it is hoped that by making this report available to the community as an open source public book via [GitBook](#), researchers and other stakeholders will contribute to it as they work more on the data or as government departments make more data available.

## I would like UK data on [X], but this is not listed here. What should I do?

Well this is great news! You have just found a potential gap in the data landscape and we would love to hear from you. In compiling this guide, we hit this wall a lot of times, and here is what we did:

**Step 1.** Do an online search. Use [google.com](http://google.com), [bing.com](http://bing.com), [yahoo.com](http://yahoo.com), or any other of your favourite engines. Sometimes try more than one, as results can vary.

**Step 2.** Do a search on the [Data.gov.uk](http://Data.gov.uk), the [ADRN Metadata Catalogue](#) and the ESRC Business and [Local Government Data Research Centre Data Portal](#) online catalogues by department or topic.

**Step 3.** Try a search on the online catalogues of some of the repositories of social and economic data such as the [Office for National Statistics](#), the [UK Data Service](#), [Stats Wales](#), [Scottish Government Statistics](#), [The Northern Ireland Statistics and Research Agency](#). Have a look at the *Administrative data as a research resource: a selected audit* report by Jones and Elias and the [DataNav](#) report by Amnesty International, the Engine Room and Benetech. Have a look at the ONS [Statement of Administrative Data Sources](#), the one from [Scotland](#), from [Wales](#) and from [other departments](#).

**Step 4.** Try to understand how the administrative process works. Usually, the relevant government department will have information on their pages about the process, to help people through the process. Try to find out what forms people must fill in and who they need to submit them to for their request to move forward. These offices are usually a good starting point for researchers to enquire with and ask more information about data availability, quality and coverage.

**Step 5.** Visit the government department's webpages. Due to the Transparency agenda, and the recently ascended [Digital Economy Act \(2017\)](#) most government departments make available some statistics, usually about the salaries or performance data. These statistics sometimes contain the contact details of the section or group of people within the department that produced these statistics – these are always a good starting point to talk to, to enquire about the availability of data and other potential data sources. Search for their *list/statement of administrative sources*, (see [the one from NHS] for example (<http://content.digital.nhs.uk/pubs/listadminsources>)) most departments publish these as part of the transparency agenda on their websites, too.

**Step 6.** Ask. Get in touch with the UK Administrative Justice Institute researchers (check the [UKAJI researcher register](#)); get in touch with colleagues and people who have published on the topic.

**Step 7.** Be flexible. Be prepared to change direction and be open to suggestions of alternative data sources, as you proceed and find out more about what is available and whether it can be used for statistical analysis.

**Step 8.** Be persistent. Do not give up. Ask again. And again.

**Step 9.** Let us know – feel free to add the outcome of your findings on the [community GitBook version of this guide](#), please see the [how to contribute](#) section or contact [me](#) if you could like more information about how to do this.

## Getting the data

As mentioned above, this can vary greatly by country, department, types of data requested and level of detail of variables that you require. Once you have identified the right data for your research question, clarify with the data owners what the process is for applying to get it. In our report we have included information on how the data sources can be listed, so these should give you an idea of the different requirements.

None of the government departments we review in this report charge for making available their data to researchers – some others (like the NHS Digital) do though ([see their current costs](#) of managing the application, processing the data and providing access), so worth clarifying this as early in the process as possible, too.

Some funders issue special calls or have special funding streams that researchers can apply in the UK if they would like to do secondary data analysis (i.e. use already existing data rather than collecting new), such as the [Economic and Social Research Council's Secondary Data Analysis Initiative](#).

## Analysing the data

Analysing administrative data falls within the field of *Secondary Data Analysis*, which involves the analysis of an existing data source which had previously been collected by another researcher or organisation, usually for different purposes (see Brewer, 2012; Elliott, 2015; Heaton, 2003; Johnston, 2017; Life, 2003; Tatsuoka, 2012). The main idea is that using data that has already been collected is highly efficient and economical – there is no extra cost for collecting the information. There is also another advantage: administrative data collections are as close as researchers could ever get to whole populations, with the opportunity to provide us with a detailed picture and leading to a greater understanding of the issues under consideration and better informed policy making. They also often contain information on populations who are under-represented in mainstream surveys.



However, the fact that the data has already been collected, for different purposes, means that researchers will most likely not have all the information on how and why certain types of information was collected. They might also not know when data collection changed (e.g. a variable stop being collected, or another one started being collected or even when the same variable referred to different metric!). As a result they might find that they have to spend some time familiarising themselves with the data, understanding them, cleaning and understanding the decisions around them. For more on the challenges and opportunities of using secondary data in research see (Heaton, 2008; Hinds, Vogel, & Clarke-Steffen, 1997; Trzesniewski, Donnellan, & Lucas, 2011; Vartanian, 2010).

Here are some useful resources on issues other than methodology that might assist you with your quest:

## Data Management

A very good starting point is the [ESRC Data management plan guidance](#). The UK Data Archive have an extensive set of resources on [their pages](#), and they have published an [authoritative guide](#) on the topic. The Digital Curation Centre also has a dedicated website with [resources on the topic](#) and information on how to put together a [data management plan](#) for your research. JISC also make available a set of sources on [how and why researchers should manage their research data](#), on [Data protection](#) and on [Managing research data in your institution](#).

## Ethics and Consent

As with other types of data, research proposals using administrative data will undergo institutional ethics review, but might find that the set of rules and criteria applied to primary data collection does not directly apply to secondary data analysis of administrative data. Nevertheless, there are ethical factors to consider when using and linking such data in the context of the research project on the issues of ethics and consent most notably:

- Administrative data is not primarily collected for research – but rather by government departments and other executive agencies for operational reasons. Individuals included in the data collection might not be explicitly aware of their information being used for research purposes, as the government department might not directly ask for their permission or because they cannot be directly identified in the data. This is still a grey area, but highlights the researchers' ethical and moral responsibility in ensuring that any use of the data is done in a way that will safeguard the confidentiality of the persons, even though the data might not be directly classed as 'personal data' as per the Data Protection Act.
- The more data sources we link to each other, the higher the risk of *statistical disclosure*,

of specific information from a de-identified data source accidentally being attributed to a specific individual household or business, thus identifying them. Government departments usually have procedures in place to ensure that this does not happen, but researchers should ensure they do their bit, too, by following [best practice in data handling, storing and processing](#).

Note that when applying to government departments with a request to link your own (primary) data to their administrative records, you must provide evidence that you have sought adequate informed consent by your participants and that any copyright issues have been addressed.

There are several good reads on the topic of ethics and administrative data, such as the [ESRC's Framework for Research Ethics \(2016\)](#) as well as these sources: ([Bishop, 2017](#); [Burton et al., 2015](#); [Connelly, Playford, Gayle, & Dibben, 2016](#); [Cooper, 2004](#); [Evans et al., 2015](#); [Gaye et al., 2014](#); [Metcalf et al., 2016](#); [McGuire et al., 2011](#); [OECD, 2013](#); [OECD, 2016](#); [Richard & King, 2014](#); [Stiles & Boothroyd, 2015](#); [UK Cabinet, 2016](#); [Weller & Kinder-Kurlanda, 2016](#); [Zwitter, 2014](#)).

The [National Statistician's Data Ethics Advisory Committee](#) was set up to assist in cases where an ethics committee is unable to assess the ethics of a project using administrative data or where an ethics process is not available for researchers and they have extensive experience in assessing secondary data applications. They list a set of best practice principles for data projects, that might be helpful:

1. The use of data has clear benefits for users and serves the public good.
2. The data subject's identity (whether person or organisation) is protected, information is kept confidential and secure, and the issue of consent is considered appropriately.
3. The risks and limits of new technologies are considered and there is sufficient human oversight so that methods employed are consistent with recognised standards of integrity and quality.
4. Data used and methods employed are consistent with legal requirements such as the Data Protection Act, the Human Rights Act, the Statistics and Registration Service Act and the common law duty of confidence.
5. The views of the public are considered in light of the data used and the perceived benefits of the research.
6. The access, use and sharing of data is transparent, and is communicated clearly and accessibly to the public.

## Ensuring Confidentiality of Statistical Outputs

When acquiring or analyzing an administrative dataset, researchers and data owners must ensure the confidentiality of statistical outputs. The Office for National Statistics has [guidance on the dissemination of statistics](#) including their [protocol on Release Practices](#). WISERD also has a useful resource on [Statistical Disclosure Detection and Control in a research environment](#). This [ADRN guide](#) includes an introduction to one of the methods that can be employed to do that, called Output Statistical Disclosure Control, as employed within the '5-Safes' Safeguarding framework.

HMRC have published their policy on confidentiality and access in [their HMRC statistics pages](#), and so has [DWP](#). The National Records of Scotland have also outlined the [principles around confidentiality of statistical outputs from their Census data](#).

## Data Linkage

Sometimes a single dataset will not provide all the information a researcher needs to do their analysis - it is very likely that they will maximise usefulness if linked with another administrative dataset, survey or even data they have collected themselves. Understanding the methodology around data linkage is crucial when doing research with secondary data, as it might introduce bias and might impact upon the quality of the data at hand.

[An Introduction to Data Linkage](#) (ADRN) gives readers a practical introduction to data linkage, covering data preparation, deterministic and probabilistic linkage methods and analysis of linked data, with examples relevant to health and other administrative data sources.

Information is occasionally made available via some data controllers (see for example the data linkage pages of the [Understanding Society](#) survey, the Scottish Government [Data Linkage Strategy](#), and this summary page from the [Administrative Data Liaison Service](#)).

These sources offer more information on data linkage, its methodologies and examples of analysis using linked data: ([Harron, Goldstein, & Dibben, 2015](#); [Harron, Wade, Gilbert, Muller-Pebody, & Goldstein, 2014](#); [Kinner et al., 2015](#); [Lugg-Widger et al., 2017](#); [Morgan, Marlow, Costeloe, & Draper, 2016](#); [Pickrell et al., 2015](#); [Setiawan et al., 2015](#); [Vatsalan, Sehili, Christen, & Rahm, 2017](#); [Waugh, Anand, Anderson, & De Wit, 2017](#))

## Legal Issues

The [ADRN guide on Legal Issues for ADRN Users](#) sets out the legal background to data protection laws in the UK, and offers a broad explanation of the current law relating to data sharing and linkage, as well as a consideration of the implications of the impending EU General Data Protection Regulation 2016.

These sources offer more information on legal issues around administrative and related data: ([Dixon-Woods et al., 2017](#); [Kaye et al., 2016](#); [Laurie et al., 2015](#); [Laurie & Stevens, 2016](#); [Mitchell et al., 2017](#); [Stevens & Laurie, 2014](#); [Woollard, 2014](#)).

Of relevance to work with administrative data is also the [Digital Economy Act \(2017\)](#), and in particular Part 5, Chapters 5 and 6 and the [Data Protection Act \(1998/2003/2015\)](#)

## Data Quality

Common data quality concerns with administrative data include incomplete data, incorrect data formats and mistyped data. There is also sometimes inconsistency in the way staff or others contributing information are recording data in the data resource, particularly in those cases where data have not been collected with statistical analysis in mind. Handling the data (i.e. cleaning it, aggregating or linking it with other datasets) is also likely to introduce errors or bias in the analysis and the validity of the research and insights.

The National Statistician's Office notes, published in 2014, provides some [guidance on using administrative data for Government statisticians](#), and provides a good overview of the challenges and ways to work around them.

Since then, the UK Statistics Authority, via its Office for Statistics Regulation has issued a Regulatory Standard for the quality assurance of administrative data that are used to produce official statistics, this is available for download via the [Quality Assurance of Administrative Data pages](#), and includes the standard and a toolkit that helps users implement it.

The Office for National Statistics have used this frame work to make available [notes on the quality assurance of administrative data](#) used in the UK (see for example the [UK Public Sector Finances report](#)).

---

<sup>18</sup>. See for example [this article](#) ↩

<sup>19</sup>. Such as the creation of the [Administrative Data Research Network](#); the [Government Digital Service](#), the [Data.gov.uk data catalogue](#) and the [Digital Economy Act \(2017\)](#) ↩

## References

(IAD), I. A. (2004). *Housing and Council Tax Benefits*. Sheffield: Department for Work and Pensions. Retrieved Feb 2017, from

[http://research.dwp.gov.uk/asd/asd1/hb\\_ctb/HousingBenefit.pdf](http://research.dwp.gov.uk/asd/asd1/hb_ctb/HousingBenefit.pdf)

Bambra, C., & Smith, K. E. (2010). No longer deserving? Sickness benefit reform and the politics of (ill) health. *Critical Public Health*, 20(1), 71–83.

<https://doi.org/10.1080/09581590902763265>

Barnes, H., Sissons, P., & Stevens, H. (2011). *Employment and support allowance: findings from a follow-up survey with customers*. Sheffield: Dept. for Work and Pensions.

Brewer, E. W. (2012). Secondary Data Analysis. *Sage Secondary Data Analysis*, 165–176.

Burgess, P., Corby, S., & Latreille, P. (2012). *Non-legal members in UK Tribunals*. Research project funded by the UK Economic and Social Research Council (RES-000-4154)<

<http://www2.gre.ac.uk/about/schools/business/research/groups/weru/publications>> accessed.

Burton, P. R., Murtagh, M. J., Boyd, A., Williams, J. B., Dove, E. S., Wallace, S. E., ... Knoppers, B. M. (2015). Data Safe Havens in health research and healthcare. *Bioinformatics (Oxford, England)*, 31(20), 3241–3248. <https://doi.org/10.1093/bioinformatics/btv279>

Cane, P. (2009). *Administrative tribunals and adjudication*. Bloomsbury Publishing.

Carnwath, J. (2011). Tribunals and the Courts-the UK Model. *Canadian Journal of Administrative Law & Practice*, 24(1), 5.

Chamberlain, J. M. (2016). Risk-based regulation and reforms to fitness to practise tribunals in the United Kingdom: Serving the public interest? *HEALTH RISK & SOCIETY*, 18(5–6),

318–334. <https://doi.org/10.1080/13698575.2016.1232374>

Clark, J. (1999). Adversarial and investigative approaches to the arbitral resolution of dismissal disputes: a comparison of South Africa and the UK. *Industrial Law Journal*, 28(4), 319–335.

Connelly, R., Playford, C. J., Gayle, V., & Dibben, C. (2016). The role of administrative data in the big data revolution in social science research. *Social Science Research*,

59(Supplement C), 1–12. <https://doi.org/10.1016/j.ssresearch.2016.04.015>

- Cooper, T. L. (2004). Big Questions in Administrative Ethics: A Need for Focused, Collaborative Effort. *Public Administration Review*, 64(4), 395–407. <https://doi.org/10.1111/j.1540-6210.2004.00386.x>
- Cowley, C. (2015). Conscientious objection and healthcare in the UK: why tribunals are not the answer. *Journal of Medical Ethics*, medethics–2015.
- Curnock, E., Leyland, A. H., & Popham, F. (2016). The impact on health of employment and welfare transitions for those receiving out-of-work disability benefits in the UK. *Social Science & Medicine*, 162, 1–10. <https://doi.org/10.1016/j.socscimed.2016.05.042>
- Desai, T., Ritchie, F., & Welpton, R. (2016). Five Safes: Designing data access for research. University of the West of England. Retrieved from <http://eprints.uwe.ac.uk/28124>
- Dixon-Woods, M., Kocman, D., Brewster, L., Willars, J., Laurie, G., & Tarrant, C. (2017). A qualitative study of participants' views on re-consent in a longitudinal biobank. *BMC Medical Ethics*, 18(1), 22.
- DWP Central Fol. (2016, October 24). Fol 3591- Appeals and Mandatory Reconsideration Data. Retrieved from <https://www.whatdotheyknow.com/request/346710/response/886289/attach/2/3591%20Reply.pdf>
- DWP. (2016, May). DWP medical (factual) reports. Retrieved from [https://www.gov.uk/government/uploads/system/uploads/attachment\\_data/file/619528/medical-reports-completion-guidance.pdf](https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/619528/medical-reports-completion-guidance.pdf)
- Elliott, D. C. (2015). Secondary data analysis. *Research in the College Context: Approaches and Methods*, 175.
- Evans, H., Ginnis, S. Bartlett, J. (2015) *Social Ethics a guide to embedding ethics in social media research*. IPSOS Mori. <https://www.ipsos-mori.com/Assets/Docs/Publications/imdemos-social-ethics-in-social-media-research-summary.pdf>
- Ferencz, N., & McGuire, J. (2000). Mental health review tribunals in the UK: Applying a therapeutic jurisprudence perspective. *Court Review*, 37, 48–54.
- Garthwaite, K. (2011). 'The language of shirkers and scroungers?' Talking about illness, disability and coalition welfare reform. *Disability & Society*, 26(3), 369–372. <https://doi.org/10.1080/09687599.2011.560420>
- Gaye, A., Marcon, Y., Isaeva, J., LaFlamme, P., Turner, A., Jones, E. M., ... Burton, P. R. (2014). DataSHIELD: taking the analysis to the data, not the data to the analysis. *International Journal of Epidemiology*, 43(6), 1929–1944. <https://doi.org/10.1093/ije/dyu188>

Ghuri, N. (n.d.). The Qur'anic Model (QM): A Praxiological Study of Religious Tribunals in the United Kingdom (UK)(September 7, 2014). Available at SSRN 2492829.

Hancock, R., & Pudney, S. (2014). Assessing the distributional impact of reforms to disability benefits for older people in the UK: implications of alternative measures of income and disability costs. *Ageing & Society*, 34(2), 232–257.

<https://doi.org/10.1017/S0144686X1200075X>

Harron, K., Goldstein, H., & Dibben, C. (2015). *Methodological developments in data linkage*. John Wiley & Sons.

Harron, K., Wade, A., Gilbert, R., Muller-Pebody, B., & Goldstein, H. (2014). Evaluating bias due to data linkage error in electronic healthcare records. *BMC Medical Research Methodology*, 14(1), 36.

Heaton, J. (2003). Secondary Data Analysis. *The AZ of Social Research*, Sage, London, 285–288.

Heaton, J. (2008). Secondary Analysis Of Qualitative Data: An Overview. *Historical Social Research/Historische Sozialforschung*, 33–45.

Hinds, P. S., Vogel, R. J., & Clarke-Steffen, L. (1997). The possibilities and pitfalls of doing a secondary analysis of a qualitative data set. *Qualitative Health Research*, 7(3), 408–424.

HM Courts & Tribunals Service. (2015). How to appeal against a decision made by the Department for Work and Pensions (SSCS1A form). Retrieved from [formfinder.hmctsformfinder.justice.gov.uk/sscs001a-eng.pdf](http://formfinder.hmctsformfinder.justice.gov.uk/sscs001a-eng.pdf)

HM Courts and Tribunals service. (2015). Appealing to the Administrative Appeals Chamber of the Upper Tribunal - England and Wales. Retrieved from <http://formfinder.hmctsformfinder.justice.gov.uk/ut001-leaflet-eng.pdf>

Hood, A., & Norris Keiller, A. (2016). A survey of the UK Benefit System. London: Institute for Fiscal Studies. Retrieved March 2017, from <http://www.ifs.org.uk/bns/bn13.pdf>

ICO. (2014) *Information Commissioner's Office - Big data and data protection*.

<https://ico.org.uk/media/for-organisations/documents/1541/big-data-and-dataprotection.pdf>

James, O. (2004). Executive agencies and joined-up government in the UK. *Unbundled Government: A Critical Analysis of the Global Trend to Agencies, Quangos and Contractualisation*. London and New York, Routledge, 75–93.

Jewell, A., Dean, K., Fahy, T., & Cullen, A. E. (2017). Predictors of Mental Health Review Tribunal (MHRT) outcome in a forensic inpatient population: a prospective cohort study. *BMC PSYCHIATRY*, 17. <https://doi.org/10.1186/s12888-016-1188-8>



Johnston, M. P. (2017). Secondary data analysis: A method of which the time has come. *Qualitative and Quantitative Methods in Libraries*, 3(3), 619–626.

Jordan, B. (2012). The low road to basic income? Tax-Benefit Integration in the UK. *Journal of Social Policy*, 41(1), 1–17.

Kaye, J., Briceño Moraia, L., Curren, L., Bell, J., Mitchell, C., Soini, S., ... Rial-Sebbag, E. (2016). Consent for Biobanking: The Legal Frameworks of Countries in the BioSHaRE-EU Project. *Biopreservation and Biobanking*, 14(3), 195–200.

Khan, H., & Sloane, M. (2007). Reforming the UK's structure for tax tribunals. *Int'l Tax Rev.*, 19, 23.

Kinner, S. A., Degenhardt, L., Coffey, C., Hearps, S., Spittal, M., Sawyer, S. M., & Patton, G. C. (2015). Substance use and risk of death in young offenders: a prospective data linkage study. *Drug and Alcohol Review*, 34(1), 46–50.

Knight, K., & Latreille, P. (2000). Discipline, dismissals and complaints to employment tribunals. *British Journal of Industrial Relations*, 38(4), 533–555.

Laurie, G., & Stevens, L. (2016). Developing a Public Interest Mandate for the Governance and Use of Administrative Data in the United Kingdom. *Journal of Law and Society*, 43(3), 360–392.

Laurie, G., Ainsworth, J., Cunningham, J., Dobbs, C., Jones, K. H., Kalra, D., ... Sethi, N. (2015). On moving targets and magic bullets: Can the UK lead the way with responsible data linkage for health research? *International Journal of Medical Informatics*, 84(11), 933–940.

Levell, P., May, R., O'Dea, C., & Phillips, D. (2009). A survey of the UK benefits system. *Institute for Fiscal Studies Briefing Note*, 13.

Libby Bishop (2017). *Big data and data sharing: Ethical issues*. UK Data Service, UK Data Archive. [https://bigdata.ukdataservice.ac.uk/media/604711/big-data-and-data-sharing\\_ethical-issues.pdf](https://bigdata.ukdataservice.ac.uk/media/604711/big-data-and-data-sharing_ethical-issues.pdf).

Life, R. S. (2003). Secondary data analysis. *The AZ of Social Research: A Dictionary of Key Social Science Research Concepts*, 285.

Longley, D., & James, R. (1999). *Administrative justice: central issues in UK and European administrative law*. Routledge.

Lugg-Widger, F. V., Cannings-John, R., Channon, S., Fitzsimmons, D., Hood, K., Jones, K. H., ... others. (2017). Assessing the medium-term impact of a home-visiting programme on child maltreatment in England: protocol for a routine data linkage study. *BMJ Open*, 7(7), e015728.



Mackenzie, R., & Sands, P. (2003). International courts and tribunals and the independence of the international judge. *Harv. Int'l LJ*, 44, 271.

MacLeavy, J. (2011). A 'new politics' of austerity, workfare and gender? The UK coalition government's welfare reform proposals. *Cambridge Journal of Regions, Economy and Society*, 4(3), 355–367.

Macrory, R. (2010). Environmental Courts and Tribunals in England and Wales-A Tentative New Dawn. *J. Ct. Innovation*, 3, 61.

Marinescu, I. (2011). Are judges sensitive to economic conditions? Evidence from UK employment tribunals. *ILR Review*, 64(4), 673–698.

McGuire, A. L., Basford, M., Dressler, L. G., Fullerton, S. M., Koenig, B. A., Li, R., ... Clayton, E. W. (2011). Ethical and practical challenges of sharing data from genome-wide association studies: The eMERGE Consortium experience. *Genome Research*, 21(7), 1001–1007. <https://doi.org/10.1101/gr.120329.111>

Metcalf, J., Emily F. K., & Boyd, D. (2016). *Perspectives on Big Data, Ethics, and Society*. Council for Big Data, Ethics, and Society. Accessed December 16, 2016.

<http://bdes.datasociety.net/council-output/perspectives-on-big-data-ethics-and-society/>

Mitchell, C., Ploem, C., Chico, V., Ormondroyd, E., Hall, A., Wallace, S., ... others. (2017). Exploring the potential duty of care in clinical genomics under UK law. *Medical Law International*, 0968533217721966.

Morgan, A. S., Marlow, N., Costeloe, K., & Draper, E. S. (2016). Investigating increased admissions to neonatal intensive care in England between 1995 and 2006: data linkage study using Hospital Episode Statistics. *BMC Medical Research Methodology*, 16(1), 57.

Morse, A. (2016). *NAO report: Benefit Sanctions* (No. HC 628). Retrieved from <https://www.nao.org.uk/wp-content/uploads/2016/11/Benefit-sanctions.pdf>

Murie, A. (1997). The social rented sector, housing and the welfare state in the UK. *Housing Studies*, 12(4), 437–461.

Ndekugri, I. (2016). Late Disputes And The NEC3 Engineering And Construction Contract. *Proceedings Of The Institution Of Civil Engineers-Management Procurement And Law*, 169(2), 65–76. <https://doi.org/10.1680/jmapl.15.00037>

O'Brien, T., Mellsop, G., McDonald, K., & Ruthe, C. (1995). A one year analysis of appeals made to mental health review tribunals in New Zealand. *Australian & New Zealand Journal of Psychiatry*, 29(4), 661–665.

OECD. (2013). *New Data for Understanding the Human Condition*, Global Science Forum Report. <http://www.oecd.org/sti/sci-tech/new-data-for-understanding-the-humancondition.pdf>

- OECD. (2016). *Research Ethics and New Forms of Data for Social and Economic Research*. OECD Science, Technology and Industry Policy Papers, No. 34, OECD Publishing, Paris. <http://dx.doi.org/10.1787/5jln7vnpxs32-en>
- Perkins, E. (2002). Mental Health Review Tribunals in the UK. A tribunal in transition. In *Conference proceedings from Detention, decisions and dilemmas: reviewing involuntary detention into the 21st century*.
- Perkins, E. (2003). *Decision-making in mental health review tribunals*. Policy Studies Institute.
- Pickrell, W. O., Lacey, A. S., Bodger, O. G., Demmler, J. C., Thomas, R. H., Lyons, R. A., ... Kerr, M. P. (2015). Epilepsy and deprivation, a data linkage study. *Epilepsia*, 56(4), 585–591.
- Pudney, S. (2016, 15 Nov). *Administrative Justice: Notes on Data Requirements for Simple Measures of the Impact of Policy Reform*. ms. University of Essex.
- Raco, M. (2009). From expectations to aspirations: State modernisation, urban policy, and the existential politics of welfare in the UK. *Political Geography*, 28(7), 436–444.
- Ramsay, S. (1994). Premature Squeeze on UK Disability Benefits. *Lancet*, 343(8892), 287–287. [https://doi.org/10.1016/S0140-6736\(94\)91129-0](https://doi.org/10.1016/S0140-6736(94)91129-0)
- Richards, N. & King, J. (2014). Big Data Ethics. *Wake Forest Law Review* (49).
- Robert J. Lempert. (2014). Embedding (some) benefit-cost concepts into decision support processes with deep uncertainty. *Journal of Benefit-Cost Analysis*, 5(3), 487–514.
- Robinson, P. (1998). Employment and social inclusion. *An Inclusive Society: Strategies for Tackling Poverty*, London: Institute for Public Policy Research.
- Rosenthal, P., & Budjanovcanin, A. (2011). Sexual Harassment Judgments by British Employment Tribunals 1995–2005: Implications for Claimants and their Advocates. *British Journal of Industrial Relations*, 49(s2).
- Roulstone, A. (2015). Personal Independence Payments, welfare reform and the shrinking disability category. *Disability & Society*, 30(5), 673–688. <https://doi.org/10.1080/09687599.2015.1021759>
- Sarkar, S. P., & Adshead, G. (2005). *Black robes and white coats: who will win the new mental health tribunals?* RCP.
- Setiawan, V. W., Virnig, B. A., Porcel, J., Henderson, B. E., Le Marchand, L., Wilkens, L. R., & Monroe, K. R. (2015). Linking data from the Multiethnic Cohort Study to Medicare data: linkage results and application to chronic disease research. *American Journal of Epidemiology*, 181(11), 917–919.

Sisler, V. (2011). Cyber counsellors: online Fatwas, arbitration tribunals and the construction of muslim identity in the UK. *Information, Communication & Society*, 14(8), 1136–1159.

Stevens, L. A., & Laurie, G. (2014). The administrative data research centre Scotland: a scoping report on the legal & ethical issues arising from access & linkage of administrative data.

Stiles, P. G., & Boothroyd, R. A. (2015). Ethical Use of Administrative Data for Research Purposes. In J. Fantuzzo & D. P. Culhane (Eds.), *Actionable Intelligence: Using Integrated Data Systems to Achieve a More Effective, Efficient, and Ethical Government* (pp. 125–155). New York: Palgrave Macmillan US. [https://doi.org/10.1057/9781137475114\\_5](https://doi.org/10.1057/9781137475114_5)

Tarr, A., & Finn, D. (2012). Implementing Universal Credit: will the reforms improve the service for users. *Centre for Economic and Social Inclusion, York: Joseph Rowntree Foundation*.

Tatsuoka, C. (2012). Secondary Data Analysis. In *Encyclopedia of Immigrant Health* (pp. 1331–1332). Springer.

Taylor-Gooby, P., & Taylor, E. (2015). Benefits and welfare: Long Term trends or short-term reactions. *British Social Attitudes*, 32, 1-28. Retrieved March 2017, from

[http://www.bsa.natcen.ac.uk/media/38977/bsa32\\_welfare.pdf](http://www.bsa.natcen.ac.uk/media/38977/bsa32_welfare.pdf)

Aldridge, H., Kenway, P., MacInnes, T., & Parekh, A. (1981). Monitoring poverty and social exclusion 2012. *Children*, 1991(2000/01).

Thomas, R. (2016). Current developments in UK tribunals: Challenges for administrative justice. *Browser Download This Paper*.

Thompson, B. (2010). Current developments in the UK: system building—from tribunals to administrative justice. *Administrative Justice in Context*. Oxford: Hart Publishing, *Forthcoming*.

Trzesniewski, K. H., Donnellan, M., & Lucas, R. E. (2011). *Secondary data analysis: An introduction for psychologists*. American Psychological Association.

UK Cabinet Office, (2016). *Data Science Ethical Framework*.

[https://www.gov.uk/government/uploads/system/uploads/attachment\\_data/file/524298/Data\\_science\\_ethics\\_framework\\_v1.0\\_for\\_publication\\_\\_1\\_.pdf](https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/524298/Data_science_ethics_framework_v1.0_for_publication__1_.pdf)

Upper Tribunal Administrative Appeals Chamber. (2012, July 16). Application form permission to Appeal or Notice of Appeal from First-Tier Tribunal (UT002). Retrieved from <https://formfinder.hmctsformfinder.justice.gov.uk/ut002-eng.pdf>

- Upper Tribunal Administrative Appeals Chamber. (2012, July 16). Application form permission to Appeal or Notice of Appeal from First-Tier Tribunal (UT002). Retrieved from <https://formfinder.hmctsformfinder.justice.gov.uk/ut002-eng.pdf>
- Vartanian, T. P. (2010). *Secondary Data Analysis*. Oxford University Press. Retrieved from [https://books.google.co.uk/books?id=KKh1Q\\_OuKqIC](https://books.google.co.uk/books?id=KKh1Q_OuKqIC)
- Vatsalan, D., Sehili, Z., Christen, P., & Rahm, E. (2017). Privacy-Preserving Record Linkage for Big Data: Current Approaches and Research Challenges. In *Handbook of Big Data Technologies* (pp. 851–895). Springer.
- Viola, S., & Moncrieff, J. (2016). Claims for sickness and disability benefits owing to mental disorders in the UK: trends from 1995 to 2014. *British Journal of Psychiatry Open*, 2(1), 18–24.
- Walker, R., & Wiseman, M. (2003). Making welfare work: UK activation policies under New Labour. *International Social Security Review*, 56(1), 3–29.
- Warren, J., Garthwaite, K., & Bambra, C. (2014). After Atos Healthcare: is the Employment and Support Allowance fit for purpose and does the Work Capability Assessment have a future? *Disability & Society*, 29(8), 1319–1323.  
<https://doi.org/10.1080/09687599.2014.948746>
- Waugh, H., Anand, G., Anderson, S., & De Wit, I. (2017). Transforming children’s futures: the challenges and benefits of using data linkage to improve the planning of children’s services within Scotland. *International Journal for Population Data Science*, 1(1).
- Weller, K., & Kinder-Kurlanda, K. E. (2016). A Manifesto for Data Sharing in Social Media Research. In *Proceedings of the 8th ACM Conference on Web Science* (pp. 166–172). New York, NY, USA: ACM. <https://doi.org/10.1145/2908131.2908172>
- Wood, S., Saundry, R., & Latreille, P. (2017). The management of discipline and grievances in British workplaces: the evidence from 2011 WERS. *INDUSTRIAL RELATIONS JOURNAL*, 48(1), 2–21. <https://doi.org/10.1111/irj.12164>
- Woollard, M. (2014). 3.1 Administrative Data: Problems and Benefits. A perspective from the United Kingdom<sup>1</sup>. *Facing the Future: European Research Infrastructures for the Humanities and Social Sciences*, 49.
- Zwitter, A. (2014). Big Data ethics. *Big Data & Society*, 1(2), 2053951714559253.  
<https://doi.org/10.1177/2053951714559253>

## **How to contribute to this resource**