



Ghana National Household Registry **DATA SHARING PROTOCOL**

This protocol aims to regulate and facilitate the dissemination of microdata collected by GNHR to the rightful potential users

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1. INTRODUCTION

1. The process of targeting social protection interventions to the poor has become a priority in many developing countries in the last two decades as a response to fiscal constraints and policy changes to improve effectiveness of programs in reducing poverty. The Ministry of Gender, Children and Social Protection (MoGCSP) as the institution responsible for coordinating the implementation of the country's social protection system has proposed the establishment of the Ghana National Household Registry (GNHR), as a tool to assist social protection programs to identify, prioritize, and select households living in vulnerable conditions to ensure that different social programs effectively reach their target populations. The GNHR involves the registry of households and collection of basic information on their social-economic status.

2. In this context, the GNHR have the following specific objectives:

- a) Identify the poor and vulnerable and make it possible for programs to identify their target population quickly;
- b) Increase transparency and accountability;
- c) Reduce the duplication in coverage of various SP Programs: Allowing feedback between programs;
- d) Enable centralized oversight of policy and budget planning through effective management and allocation of resources;
- e) Easier transition of beneficiaries between SP schemes;
- f) Increase the efficiency of the operational processes of the SP Programs by the reduction of redundancies and duplication in operational activities such as targeting and case management;
- g) Increases the knowledge on issues around poverty and vulnerability.
- h) Contribute to institutional strengthening of the MoGCSP, through the implementation of a reliable and modern database of vulnerable groups.

3. The GNHR implementation has the potential to have significant impact as a tool to improve efficiency, effectiveness, and expand the coverage and scope of social protection interventions; it also serves as an instrument for data integration and information management across programs to achieve the desired harmonization and coordination of the Social Protection System in Ghana.

4. Based on the above, data dissemination and use is one of the main objective of GNHR work, but it is equally important to do it in a manner that will not in any way harm the providers of these data (households). Therefore, it is necessary to implement a data dissemination policy that establishes the rules and define the nature of data files to be released, their intended use and the conditions of their release.

2. TERMS AND CONCEPTS

A) *Microdata:*

Are the electronic data files containing the information about each unit of observation, in the GNHR case are households and individual? These data files are organized in a way that each line (or record) contains information about one unit of observation. This information is stored in variables. Variables can be of different types (e.g. numeric or alphanumeric, discrete or continuous, etc). They can be obtained directly from the respondent via a questionnaire or by observation or measurement (e.g. by GPS positioning) or imputed or calculated. Microdata files is stored in the form of coded values. For example, the sex of the respondent may be stored in a variable named 'B.3.': this would include values 1 or 2, where 1 is the code for male and 2 for female. Therefore, microdata must be accompanied by a data dictionary containing the list of variables, a description of their content and the meaning of each code used.

B) *Macrodata or aggregated data:*

Provide a summarized version of this information in the form of means, ratios, frequencies or other summary statistics.

C) *Dataset:*

Comprises multiple data files, often resulting from multiple levels of observation in the same data collection operation. In GNHR case, data is collected at two levels: the household (with, for example, variables describing dwelling characteristics) and the individual (with, for example, information on age, marital status, education level and economic activity). The dataset may comprise one or multiple file(s) at each of these levels. The data files contain some variables named key variables; these allow users to link information from one file to that of another file. Datasets organized thus are named hierarchical datasets.

D) *Dissemination of data:*

For the purpose of this policy, dissemination refers to any mechanism by which micro-data are made available to users. It includes mechanisms whereby data are released to users as well as those where data are made available without actually being released.

E) *Public Release of Data:*

A dissemination mechanism whereby micro-data files are made available to all users using a variety of media (hard drive, Flash drive, CDs, Internet, etc). The defining characteristic of public release is that any user, including the general public, can be in possession of the micro-data, without the need for special legal status or special arrangements. The files have been edited, documented, reviewed and undergo a rigorous confidentiality review by the GNHR. The micro-data are judged not to contain identifiable or potentially identifiable information. Users are asked to agree not to try

to obtain the identity of respondents. As GNHR does not retain any oversight of the data once released, GNHR assurance of confidentiality is based on the disclosure review and not on the agreement of the user.

F) Special Use Agreements:

In some circumstances, data which are not released publicly may be provided by GNHR through a special data use agreement that provides for GNHR oversight over the use of the data. No data which cannot be publicly released will be made available outside GNHR without a data user's signed written agreement to provide such safeguards as are necessary. The agreement must be countersigned by the GNHR Coordinator, or designee.

G) Controlled access to micro-data:

Access to micro-data refers to making data available to users through a mechanism other than public release or special use agreements. In this case, users have access to the micro-data but are not in possession of the data. GNHR exercises more direct supervision of the data use in order to protect confidentiality. For example, users may receive access to micro-data through the GNHR Data Enclave. This is a facility at GNHR equipped with a computer not linked to the internet or an external network and from which no information can be downloaded via USB ports, CD-DVD or other drives.

H) Confidential Information:

That information given to GNHR with explicit understanding that it will not be shared with an unauthorized party. In the case of GNHR, authorization is secured by means of the informed consent process during which respondents' agreement is obtained concerning which, if any, parties may have access to identifiable data concerning them. For the purposes of this policy, GNHR adheres to the established confidentiality principles in the Statistical Service Law, 1985 (PNDC Law 135)

I) Identifiable data:

Is any tabulation, record, or file which can be used to establish individual or establishment identity, whether directly (using items such as name, address or unique identifying number) or indirectly (by linking data about a respondent with other information that uniquely identifies the individual).

J) Confidentiality protection:

Removal or suppression of information that could identify a data collection questionnaire respondent to any unauthorized entity. The manner in which data collected by GNHR are to be used and reported is specified in this policy. Unless explicitly specified in the consent and agreed to by the respondent or other data

provider, GNHR protects the confidentiality of all identifying information obtained through its data collection systems.

K) *Informed Consent:*

Agreement of the respondent or provider of the data to participate in an GNHR data collection activity after being fully informed of the nature of that activity.

L) *Collaborator:*

Collaborator or collaborating parties are those with whom GNHR has a formal working relationship. In most circumstances a formal working arrangement is defined in such documents as a Memorandum of Understanding (MOU) or Inter-Agency Agreement (IAA) but may also be defined in other appropriate instruments. A collaborator must have established a formal working arrangement with GNHR at the initial planning and design stages. A collaborator can be, but is not limited to, SP Programs, other government agencies, universities, organizations, colleagues and others working outside GNHR with whom GNHR has a formal working arrangement, as defined in this document. Collaborators may participate in data quality assurance/quality control and, accordingly, view micro-data files as part of the eventual data release process.

3. PURPOSE STATEMENT

5. This policy aims to regulate and facilitate the dissemination of micro-data collected by GNHR to the rightful potential users. In particular, the Policy aims to share micro-data in order to:

- Get maximum value out of the data generated by GNHR.
- Improve planning, policy formulation and decision-making across social protection sectors through additional analyses.
- Increase transparency and accountability, and mitigate duplication of data collection work.
- Increase the quality of data through feedback received from data users.
- Support the research community and to ensure that maximum usage is made of the data collected by the GNHR.

4. APPLICABILITY AND SCOPE

6. The Policy will be applicable to all the primary data collected by GNHR through its various surveys or other data collection mechanisms. Microdata files are intended for specialized users with advanced quantitative skills. This includes but is not limited to:

- Social Protection Programmes for selecting their beneficiaries from GNHR targeted households.
- Policymakers and researchers.

- International agencies and other sponsoring agencies.
- Research and academic institutes involved in social and economic research.
- Academic staff and students; and
- Other users involved in scientific research.

7. GNHR will provide different products aimed at different audiences. High-level summaries (tables, graphs, analyses) will be intended generally for a wide audience and made available via publications and GNHR website. Microdata files aimed at researchers from various institutions, including government agencies and ministries, non-governmental organizations, research institutes, academia and international bodies. These will be known as the “research community”; legal and commercial use do not fall into this category.

8. Micro-data will be made available only after the official release of data for the relevant data collection.

9. A committee will be constituted under the chairmanship of the Honorable Minister of Gender, Children and Social Protection to decide which new datasets may and should be made available for access under this policy. The committee members will include: the GNHR Coordinator, the International Advisor in GNHR, a representative of each of the main SP Programmes, and a representative of GSS.

10. All data users will be encouraged to provide feedback to GNHR, which may help improve the quality of the surveys and other data collections, as well as statistical products and publications.

11. This Policy could be amended with the approval of the Honorable Minister of Gender, Children and Social Protection and all amendments will be published on the GNHR website.

12. The Policy will be evaluated after six months and thereafter at regular intervals as decided by the Honorable Minister of Gender, Children and Social Protection.

13. An up-to-date register of all the requests (with dates, requesters and action taken) will be maintained on the GNHR website.

14. All potential users, government ministries/ organizations or private entities or academic institutions or individuals, who are desirous of obtaining micro-data from GNHR, are covered under the scope of this Policy and will have to follow the laid down procedure in this Policy to obtain the micro-data.

5. GUIDING PRINCIPLES

15. The GNHR recognizes the role of the Ghana Statistical Service (GSS) as principal agency responsible for the collection and analysis of statistical data in Ghana. Therefore, the results obtained by GNHR in its data collection processes in any way replace the official data release by GSS. Similarly, GNHR following the guidelines of the GSS, as the statistical agency in Ghana, adheres to its principles and standards.

16. Because of the aforementioned, the GNHR assumes the commitment to comply with the United Nations Fundamental Principles of Official Statistics¹.

6. DATA SHARING POLICY

17. The final decisions about data sharing will only be made after the data have been collected, processed, and reviewed for unique disclosure issues. The strategies for dissemination will begin at the time that the data collection activity is being planned. Concerns about procedures for data sharing in general and in regard to particular data components will be addressed during the planning processes, particularly for collaborative activities; despite this, GNHR has the power to address at any time of the data collection process how data quality will be evaluated and decisions made concerning when data cannot be shared due to failure to meet quality standards.

6.1. Modalities Of Microdata Files For Data Sharing

18. As mentioned above, the purpose of building the GNHR is to consolidate into a single common database, structured and organized key information about current and potential beneficiaries of social programs, in order to create single entry, point for the citizens to access the main social protection programs. For that purpose, the GNHR database is composed of the household-ranked according to their level of poverty (non-poor / poor / extremely poor); on that basis the different programs apply their own inclusion criteria to screen potential eligible beneficiaries. In addition to the variables of socio-economic categorization, the database contains individual information from each of the household members, as well as biometrics of every household member above the age of 16 to ensure effective identification of people and to decrease the chances of duplication; photograph of each household member; and geolocation of households.

19. The GNHR create multiple versions of any given microdata file; these differ in the quality, content and number of records. They range from raw microdata files — containing all replies by each respondent obtained immediately after data entry— to cleaned and edited files for public use.

¹ United Nations Fundamental Principles of Official Statistics: <http://unstats.un.org/unsd/dnss/gp/fundprinciples.aspx>

20. As a general rule, the microdata files that GNHR will disseminate are the cleaned and edited files, in case that any SP Programme may require a raw microdata files, a special request is required in which the requestor explains the purpose of using the data, this request must be approved by the GNHR Coordinator.

21. In the event that the raw data file request is made by an entity or person other than a SP Programme, the GNHR would need to adjust the content and/or number of records. The content of records in microdata files for dissemination will be edited by suppressing information from direct and indirect identifiers to protect the anonymity of respondents. These process of suppressing information does not necessarily mean removing variables. In some cases, re-coding variables into less detailed categories to make them less informative would be sufficient; or in other cases would require truncating the number of records contained in a disseminated microdata file – especially in the case of population census data as a way to guarantee the anonymization. The decision on what type of adjustment will need to be applied to the data will always be the power of GNHR, after having evaluated the reasons for the information request.

22. In the context of the GNHR Dissemination Protocols, five (5) modalities of file will be disseminated. These files differ in their level of accessibility to users and the extent to which they are anonymized.

6.1.1. Social Protection Programmes Files

23. These are the files to be shared with the SP Programmes to apply their own inclusion criteria to screen potential eligible beneficiaries. These will be Non-anonymized cleaned and edited files; for this reason, each SP Program shall develop a MoU with the GNHR before starting any data sharing process.

6.1.2. Public Use Files (PUFs)

24. Will be available to anyone agreeing to respect a core set of easy-to-meet conditions. Such conditions relate to what can be done with the data (e.g. the data cannot be sold, etc.), These PUFs will be available on-line since the risk of identifying individual respondents is considered minimal. For that purpose, all content that can identify respondents directly will be eliminated —for instance, names, addresses and telephone numbers. In addition, all relevant indirect identifiers will be purged from the microdata file, e.g.: geographical information below the sub-national level.

6.1.3. Licensed Files / Research Files

25. Their dissemination is restricted to users who have received authorization to access them after submitting a documented application and signing an agreement governing the GNHR data use. The licensed files will be anonymized to ensure the risk

of identifying individuals; they may contain potentially identifiable data if linked with other data files. Direct identifiers such as households members names will be removed from a licensed dataset. The data files may, however, still contain indirect variables that could identify respondents by matching them to other data files such as voter's IDs database, National ID data base, etc.

6.1.4. GNHR Data Enclave

26. Some files will be offered to users under strict conditions in a data enclave. This is a facility equipped with computers not linked to the internet or an external network and from which no information can be downloaded via USB ports, CD-DVD or other drives. The GNHR data enclave will contain data that are particularly sensitive or allow direct or easy identification of respondents. Examples include complete population census datasets, and certain personal related datasets containing highly-confidential information. Users interested in accessing a data enclave will not necessarily have access to the full dataset – only to the particular data subset they require. They will be asked to complete an application form demonstrating a legitimate need to access these data to fulfil a stated statistical or research purpose. The outputs generated must be scrutinized by GNHR for a full disclosure review before release.

6.1.5. Remote Job Submission

27. This approach is designed for users to conduct analyses of confidential data by creating a process that enables them to submit data processing and analysis programs remotely to the GNHR data depositor. The user is given a synthetic dataset that replicates the structure and content of the actual datasets. This enables the researcher to develop programs using tools such as SAS, SPSS or Stata. The programs are then transmitted to the GNHR data depositor staff, who run the job against the actual dataset. The results will be vetted for disclosure and returned to the user. This process could have a cost for the requester.

7. CONDITIONS FOR SHARING OF DATA

28. Although GNHR has the commitment to make the data collected as broadly available as practicable. However, this process operates under a legal and ethical obligations that place restrictions on the manner in which the data can be disseminated. In this regard, standards have been established depending on the type of microdata requested, but in any case, all data users shall acknowledge that any available property rights, including copyright in the data, are owned by GNHR and ensure that proper citations are used.

6.2. Conditions For Social Protection Programmes Files

29. Since the data for SP Programmes will be Non-anonymized cleaned and edited

files; each SP Program shall develop a MoU with the GNHR before starting any data sharing process. The MoU will establish the guarantees to ensure the confidentiality of the data, as well as: fields to be included in each record, format of the files, periodicity of data exchange, channels for data sharing and data update mechanism.

6.3. Conditions for Public-Use Files (PUFs)

30. The conditions for Public-Use Files (PUFs) will be open to anyone with access to an GNHR website. However, some good practice statements defining suitable uses for and precautions to be adopted in using the data will be implemented as a way to sensitize the user despite may not be legally binding. The key statements to be used are:

- a) Data and other material provided by the GNHR will not be redistributed or sold to other individuals, institutions or organizations without the GNHR written agreement.
- b) Data will be used for statistical and scientific research purposes only. They will be employed solely for reporting aggregated information, including modelling, and not for investigating specific individuals or households.
- c) No attempt will be made to re-identify households or its members, and there will be no use of the identity of any person or establishment discovered inadvertently. Any such discovery will be reported immediately to the GNHR.
- d) No attempt will be made to produce links between datasets provided by the GNHR or between GNHR data and other datasets that could identify individuals or households.
- e) Any books, articles, conference papers, theses, dissertations, reports or other publications employing data obtained from the GNHR will cite the source, in line with the citation requirement provided with the dataset.
- f) An electronic copy of all publications based on the requested data will be sent to the GNHR.
- g) The original collector of the data, the GNHR, and the relevant funding agencies bear no responsibility for the data's use or interpretation or inferences based upon it.

6.4. Conditions For Licensed Files / Research Files

31. The conditions to apply for licensed / research files include the basic common principles (set forth above) plus some additional ones applying to the researcher's organization. There are two options: firstly, data could be provided to a researcher or a team for a specific purpose; secondly, data could be provided to an organization under an interinstitutional agreement for internal use, e.g. to an international agency (World Bank, UNICEF, etc.) or research agency. In both cases, the researcher's organization must be identified, as must suitable representatives to sign the data agreement. If data

are provided for an individual research project, the research team must be identified. This is covered by requiring interested users to complete a formal request to access the data (see annex). As mentioned the conditions to obtain the data in this case are the same than for Public-Use Files (PUFs) plus:

- a) The researcher's organization must be identified, as must the principal and other researchers involved in using the data must be identified. The principal researcher must sign the data agreement on behalf of the organization. If the principal researcher is not authorized to sign on behalf of the receiving organization, a suitable representative must be identified.
- b) The intended use of the data, including a list of expected outputs and the organization's dissemination policy must be identified.

6.5. Conditions For GNHR Data Enclave

32. The data enclave will be located at the GNHR headquarter and will be used to give researchers access to complete data files but without the risk of releasing confidential data. GNHR staff will supervise access and use of the data; the computers will not be able to communicate outside the enclave; and the results obtained by the researchers must be screened for confidentiality by an GNHR staff before taken outside. A model of a data enclave access policy and a model of a data enclave access request form is provided in annex.

7. PROCEDURE FOR APPLYING AND OBTAINING MICRODATA

33. The steps to apply and obtain microdata will be the same for all modalities, except in the case of social Programmes that will be covered by a memorandum of understanding; what will differ between one modality and another are the conditions quoted above.

34. The Key steps are:

- a) The requester will be required to apply in the prescribed format for the specific modality (see annex). These forms could be downloaded by the applicants from the GNHR website.
- b) Once the requester has filled out the form, it must be scanned and sent to the e-mail address established for these purposes on the GNHR website.
- c) The Requester will be informed through email about the receipt of its application by GNHR no more than 48 hours after the request is sent.
- d) The GNHR will respond to all requests within 2 weeks of receipt of a request form complete in all respects.

8. COSTS

35. The GNHR following the policies established by GSS will adhere the Ghana Open Data Initiative (2012) and the recognition of statistics as a public good, microdata shall be made available at no cost to data users. The only possible exception could be in the cases of Remote Job Submission since allocation of a dedicated staff is required to run job against the actual dataset. The decision to apply a cost to these cases will depend on the complexity of the requirement and the number of hours required for the task.

9. DISPUTES RESOLUTION

36. In case of any dispute between the Requester and GNHR, or between any two parties related to the microdata, the Honorable Minister of Gender, Children and Social Protection will the give opportunity to all the aggrieved party(ies) to present their case(s). The decision of the Honorable Minister of Gender, Children and Social Protection will be final.

10. ANNEXES

10.1. Data Dissemination Interinstitutional Agreement Template

Agreement Between Ghana National Household Registry (GNHR) And [Receiving Agency] Regarding The Exchange And Use Of Microdata

A. This agreement relates to the following microdata sets:

1. _____
2. _____
3. _____
4. _____
5. _____

B. Terms of the agreement:

As the owner of the copyright in the materials listed in section A, or as duly authorized by the owner of the copyright in the materials, the representative of GNHR grants the [receiving agency] permission for the datasets listed in section A to be used by [receiving agency] employees, subject to the following conditions:

- 1) Microdata (including subsets of the datasets) and copyrighted materials provided by the GNHR will not be redistributed or sold to other individuals, institutions or organizations without the GNHR written agreement. Non-copyrighted materials which do not contain microdata (such as data collection questionnaires, manuals, codebooks, or data dictionaries) may be distributed without further authorization. The ownership of all materials provided by the GNHR remains with the GNHR.
- 2) Data will be used for statistical and scientific research purposes only. They will be employed solely for reporting aggregated information, including modeling, and not for investigating specific individuals or households.
- 3) No attempt will be made to re-identify respondents, and there will be no use of the identity of any person or establishment discovered inadvertently. Any such discovery will be reported immediately to the GNHR.
- 4) No attempt will be made to produce links between datasets provided by the GNHR or between GNHR data and other datasets that could identify individuals or households.
- 5) Any books, articles, conference papers, theses, dissertations, reports or other publications employing data obtained from the GNHR will cite the source, in line with the citation requirement provided with the dataset.
- 6) An electronic copy of all publications based on the requested data will be sent to the GNHR.
- 7) The GNHR and the relevant funding agencies bear no responsibility the data's use or for interpretation or inferences based upon it.

- 8) An electronic copy of all publications based on the requested data will be sent to the GNHR.
- 9) Data will be stored in a secure environment, with adequate access restrictions. The GNHR may at any time request information on the storage and dissemination facilities in place.
- 10) The [recipient agency] will provide an annual report on uses and users of the listed microdata sets to the GNHR, with information on the number of researchers having accessed each dataset, and on the output of this research.
- 11) This access is granted for a period of [provide information on this period, or state that the agreement is open ended].

C. Communications:

The [receiving agency] will appoint a contact person who will act as unique focal person for this agreement. Should the focal person be replaced, the [recipient agency] will immediately communicate the name and coordinates of the new contact person to the GNHR. Communications for administrative and procedural purposes may be made by email or letter as follows:

Communications made by GNHR to [recipient agency] will be directed to:

- Name of contact person: _____
- Title of contact person: _____
- Address of the recipient agency: _____
- Email: _____
- Tel: _____

Communications made by [recipient agency] to GNHR will be directed to:

- Name of contact person: _____
- Title of contact person: _____
- Address of the GNHR: _____
- GNHR Email: _____
- GNHR Tel: _____

D. Signatories:

The following signatories have read and agree with the Agreement as presented above:

Representative of the GNHR:

- Name _____
- Signature _____
- Date _____

Representative of the [recipient agency]

- Name _____
- Signature _____

- Date _____

10.2. Request Form Template For Access To A Licensed Dataset For A Specific Research Purpose

Information you provide on this form will not be shared with others, unless a breach of the legal agreement is confirmed, in which case the GNHR may inform GSS or any other partner statistical agencies in other countries.

This form is to be e-mailed with a covering letter on the sponsoring agency's letterhead, to: [e-mail address]

Title and reference number of the dataset(s) you are requesting (use the exact title, year and reference number as listed in our data collection catalogue):

Terms

In this agreement,

1. 'Principal researcher' refers to the researcher who will serve as the main point of contact for all communications involving this agreement. The Principal researcher assumes responsibility for compliance with all terms of this Data Access Agreement. The principal researcher must be an individual with authority to represent the receiving organization in agreements of this sort.
2. 'Other researchers' refers to individuals other than the Principal Researcher, including research assistants, who will have access to the restricted data.
3. 'Receiving organization' refers to the organization/university/establishment that employs the Primary Researcher.

Section A. Primary Researcher

- First name _____
- Last name _____
- Title _____
- Organization _____
- Position in organization _____
- Postal address _____
- Telephone _____ (with _____ country _____ code)
- E-mail _____

Section B. Other Researchers

Provide names, titles and affiliations of any other members of the research team who will have access to the restricted data.

Name (last/first) _____

Position _____

Affiliation _____

Section C. Receiving Organization

Organization's name _____

Type of organization (tick one)

- | | |
|--|--|
| <input type="checkbox"/> Line ministry/public administration | <input type="checkbox"/> Non-governmental agency (national) |
| <input type="checkbox"/> University | <input type="checkbox"/> Non-governmental agency (international) |
| <input type="checkbox"/> Research center | <input type="checkbox"/> Private company |
| <input type="checkbox"/> International organization | <input type="checkbox"/> Other (specify) _____ |

Organization's website (URL) _____

Postal address _____

Section D. Description of Intended Use of the Data

Please provide a description of your research project (questions, objectives, methods, expected outputs, partners). If information is insufficient, your request may be rejected or additional information requested. This information may be provided in an appendix to this request.

List of expected output(s) and dissemination policy

Section E. Identification of Data Files and Variables Needed

The GNHR provides detailed metadata on its website, including a description of data files and variables for each dataset. Researchers who do not need access to the whole dataset may indicate which subset of variables or cases are of interest. As this reduces the disclosure risk, providing us with such information may increase the probability that data will be provided.

This request is submitted to access (tick one):

- The whole dataset (all files, all cases).
- A subset of variables and/or cases as described below (note that variables and records identifiers will always be included in subsets).

Section F. Data Access Agreement

The Primary Researcher and the other researchers agree to comply with the following:

1. Access to the restricted data will be limited to the Primary Researcher and other researchers identified in this Agreement.

2. Copies of the restricted data or any data created on the basis of the original data will not be copied or made available to anyone other than those mentioned in this Data Access Agreement, unless formally authorized by the GNHR.
3. The data will be processed only for the stated statistical and research purposes. They will be used solely for reporting aggregated information and not for investigating specific individuals or households. Data will not be used in any way for administrative, proprietary or law-enforcement purposes.
4. The Primary Researcher undertakes that no attempt will be made to identify any individual person or households. If such a unique disclosure occurs inadvertently, no use will be made of the identity of any person or establishment discovered and full details will be reported to the GNHR. The identification will not be revealed to any person not included in the Data Access Agreement.
5. The Primary Researcher will implement security measures to prevent unauthorized access to licensed microdata acquired from the GNHR. The microdata must be destroyed upon the completion of this research, unless GNHR obtains a satisfactory guarantee that the data can be secured, and provides written authorization to the receiving organization to retain them. Destruction of the microdata will be confirmed in writing to the GNHR by the Primary Researcher.
6. Any books, articles, conference papers, theses, dissertations, reports or other publications that employ data obtained from the GNHR will cite the data source in accordance with the citation requirement provided with the dataset.
7. An electronic copy of all reports and publications based on the requested data will be sent to the GNHR.
8. The GNHR and the relevant funding agencies bear no responsibility for use of the data or for interpretation or inferences based upon it.
9. This agreement comes into force on the date approval is given for access to the restricted dataset and remains in force until the end date of the project or earlier if the project is completed ahead of time.
10. If there are any changes to the project specification, security arrangements, personnel or organization detailed in this application form, it is the Primary Researcher's responsibility to seek GNHR agreement to such changes. Where there is a change to the employer organization of the Primary Researcher this will involve a fresh application and termination of the original project.
11. Breaches of the agreement will be taken seriously and the GNHR will instigate action against those responsible for the lapse, if either willful or accidental. Failure to comply with GNHR directions will be deemed a major breach of the agreement and may involve recourse to legal proceedings. The GNHR will maintain and share with partner data archives a register of those individuals and organizations responsible for breaching the terms of the Data Access Agreement, and will impose sanctions on release of future data to these parties.

Signatories

The Principal researcher or an authorized representative of the receiving organization has read and agree with the Data Access Agreement as presented in section F above:

- Name _____
- Signature _____
- Date _____

Request reviewed by _____ on [date]: _____

Decision by GNHR:

Approved

Deny [reason] _____

More information needed: _____

10.3. Template Form For Access To Data In The GNHR Data Enclave

Information you provide on this form will not be shared with others, unless a breach of the legal agreement is confirmed, in which case the GNHR may inform GSS or any other partner statistical agencies in other countries.

This form is to be e-mailed with a covering letter on the sponsoring agency's letterhead, to: [e-mail address]

Title and reference number of the dataset(s) you are requesting (use the exact title, year and reference number as listed in our data collection catalogue):

Terms

In this agreement,

1. "Primary Data Investigator" refers to the investigator who will serve as the main point of contact for all communications involving this agreement. The Primary Data Investigator assumes responsibility for compliance with all terms of this Data Access Agreement. The principal researcher must be an individual with authority to represent the receiving organization in agreements of this sort.
2. "Other investigators" refers to individuals other than the Primary Data Investigator, including research assistants, who will have access to the restricted data.
3. "Receiving organization" refers to the organization/university/establishment that employs the Primary Data Investigator.
4. "Representative of the receiving organization" refers to an individual with authority to represent the receiving organization in agreements of this sort.

Section A. Primary Data Investigator

- First name _____
- Last name _____
- Title _____
- Organization _____
- Position in organization _____
- Postal address _____
- Telephone _____ (with _____ country _____ code)

- E-mail _____

Section B. Other Investigators

Provide names, titles and affiliations of any other members of the research team who will have access to the restricted data.

Name (last/first) _____

Position _____

Affiliation _____

A current resume or curriculum vitae for each person who will participate in the research must be provided with this request. Resumes or CVs must specify nationality.

Section C. Receiving Organization

Organization's name _____

Type of organization (tick one)

- Line ministry/public administration
- University
- Research center
- International organization
- Non-governmental agency (national)
- Non-governmental agency (international)
- Private company
- Other (specify) _____

Organization's website (URL) _____

Postal address _____

Section C. Receiving Organization

Organization's name _____

Type of organization (tick one)

- Line ministry/public administration
- University
- Research center
- International organization
- Non-governmental agency (national)
- Non-governmental agency (international)
- Private company
- Other (specify) _____

Organization's website (URL) _____

Postal address _____

Section D. Representative of the Receiving Organization

- First name _____
- Last name _____
- Title _____
- Organization _____
- Position in organization _____
- Postal address _____

- Telephone _____ (with _____ country _____ code)
- E-mail _____

Section E. Description of intended use of the data

Please provide a description of your research project (questions, objectives, methods, expected outputs, partners). Explain why publicly available datasets are not sufficient for your purposes.

If information is insufficient, your request may be rejected or additional information required. This information may be provided in an attached appendix to this request.

List of expected output(s) and dissemination policy:

- Will you need to merge the dataset with other data? YES NO
- If YES specify all other datasets needing to be merged.

Section F. Identification of Data Files and Variables Needed

The GNHR provides detailed metadata on its website, including a description of data files and variables for each dataset. Researchers are requested to indicate which subset of variables or cases they are interested in, to allow the GNHR to prepare the data files.

This request if submitted to access:

- The whole dataset (all files, all cases)
- A subset of variables and/or cases as described below (note that variables and records identifiers will always be included in sub-sets)

Section G. Software Requirements

The following software will be used by the researchers:

- CPro
- SAS
- SPSS
- Stata
- Other software (specify): _____

Notes:

- GNHR regularly upgrades its software. Contact us if you need more information on the version of each application available.
- Researchers who need software not provided as a standard by GNHR will have to provide GNHR with a valid license of the application, which will be installed by GNHR staff for the duration of the research work (the license will remain the property of the researcher).
- Please contact GNHR prior to finalizing this request to confirm technical feasibility.

Section H. Data Access Agreement

If approved, following agreement will be signed:

The Primary Data Investigator, the Other Investigators, and the Representative of the Receiving Organization agree to comply with the following:

1. Access to the confidential data will be limited to the Primary Data Investigator and Other Investigators listed in the application form, and who will sign the Affidavit of Confidentiality.
2. The data will only be processed for the stated statistical purpose. They will be used solely for reporting aggregated information and not for investigation of specific individuals or households. Data will not be used in any way for any administrative, proprietary or law enforcement purposes.
3. The Primary Data Investigator undertakes that no attempt will be made to identify any individual person or households. If such a unique disclosure is made inadvertently, no use will be made of the identity of any person or establishment discovered and full details will be reported to the GNHR. The identification will not be revealed to any other person not included in the Data Access Agreement.
4. Any books, articles, conference papers, theses, dissertations, reports or other publications that employ data obtained from the GNHR will cite the source of data in accordance with the citation requirement provided with the dataset.
5. An electronic copy of all reports and publications based on the requested data will be sent to the GNHR.
6. The original collector of the data, the GNHR, and the relevant funding agencies bear no responsibility for use of the data or for interpretation or inferences based upon such uses.
7. Breaches of the agreement will be treated seriously and the GNHR will take action against those responsible for the lapse if either willful or accidental. Failure to comply with the directions of the GNHR will be deemed a major breach of the agreement and may involve recourse to legal proceedings. The GNHR will maintain and share with partner data archives a register of those individuals and organizations responsible for breaching the terms of the Data Access Agreement and will impose sanctions on release of future data to these parties.
8. The GNHR reserves the right to terminate any project at any time it deems an investigator's actions will compromise confidentiality or ethical standards of behavior in a research environment.

9. No printouts, electronic files, documents, written notes or media will be removed from the GNHR until scanned for disclosure risk by GNHR staff.

10. The Primary Data Investigator and other investigators may be barred from any future use of the GNHR upon review and determination by the Coordinator of the GNHR that this is necessary to protect the integrity and confidentiality of the GNHR.

Signatories

The following signatories have read and agree with the Data Access Agreement as presented in section H above:

The Principal Data Investigator Name _____

Signature _____

Date _____

Representative of the Receiving Organization

Name _____

Signature _____

Date _____

GNHR expects that all researchers will adhere to established standards and principles for carrying out statistical research and analyses. Researchers must conduct only those analyses which have received approval. Failure to comply will result in cancellation of the research activity and potential disbarment from future research activities in the GNHR.

10.4. Template Of GNHR Data Enclave Access Policy

A. Objectives

The GNHR Data Enclave was established to allow researchers with certain qualifications, and under strict supervision, to access confidential statistical microdata files. GNHR provides a mechanism whereby researchers can access detailed data files securely, without jeopardizing respondents' confidentiality.

B. Location

The GNHR Data Enclave is located at the GNHR headquarters.

- Phone Numbers:
+233-302-631107
+233-302-631099
- Email:
info@gnhr.gov.gh
- Postal Address :
P. O. Box MBO 186, Ministry of Gender Children and Social Protection, Accra -
Ghana

C. GNHR Operations

Researchers can access the data on-site and be provided with computer equipment, software, office space and GNHR staff supervision.

D. Data

- GNHR staff constructs the necessary data files before the guest researcher arrives, and ensure no restricted data leave the facility.
- Researchers proposing multiple analyses employing multiple datasets have access to only one dataset at a time. Under no circumstance are researchers permitted an opportunity to merge datasets on their own.
- GNHR allows researchers to supply their own anonymous data to link to GNHR datasets and create merged datasets for storage at GNHR. The researcher-supplied data may consist of proprietary data collected and 'owned' by the researcher, or other publicly-available data legally obtained by the researcher. Researchers MUST provide GNHR staff with complete documentation of any data proposed for merger with GNHR data. Researchers expecting to use merged files are responsible for interacting with GNHR staff to ensure their data can be merged with GNHR data. GNHR accepts user data files in SAS, SPSS or Stata format.
- GNHR periodically creates and maintains back-up copies of all computer files. Back-up files are stored securely and accessible by GNHR staff only, although they may be made available to researchers needing to return for additional analyses. These back-

up files contain user-supplied data as well as merged files, and will be destroyed at the written request of the user.

E. Computer Equipment.

- GNHR has 2 user work-stations and a black-and-white laser printer in a secure room. GNHR computers are not linked to the Internet and are configured so that removable media such as CD-ROM or DVD writers, floppy disks or USB ports are inaccessible to users.
- GNHR work-stations consist of [Pentium X XXX MHz] computers running [Windows NT / other?].

F. Software

- CSpPro, EPI-Info, SAS, SPS and Stata are installed in the workstations in addition to MS-Office applications. Additional programming/analytical languages can be supplied as needed. For more information on the software versions available at GNHR, please contact us.
- Researchers must have sufficient expertise to conduct their own analyses with one of the software applications provided. GNHR does not provide technical support for this.

G. Office Space

- Researchers must work under the supervision of GNHR staff and only during normal working hours (Monday-Friday, 8:30 a.m. - 5:00 p.m.).
- Admittance to GNHR is limited to researchers whose names are included in the research proposal. They are required to show photo-identification before admittance.
- A maximum of 2 collaborating researchers can sit at a computer station.
- Scheduling time at GNHR is on a first-come, first-served basis. GNHR Staff

H. Supervision (For Disclosure Review)

- External researchers are not allowed to bring documents, manuals, books, etc, that may enable them to identify and disclose confidential information accessed at GNHR. Neither are they allowed to bring cell phones, pagers or other devices that would enable them to communicate outside GNHR.
- Researchers may not save output, files or programs to transportable electronic media. GNHR staff can copy output or programs to transportable media if requested.
- Researchers may take the results of their analyses off-site only after a disclosure review by GNHR staff. Disclosure reviews consists of looking for tabular cells less than five, tables with geographical variables in any dimension, models with geographical variables (or variables tantamount to geographical variables) as outcome variables, or case listings.

- All logs must be printed or electronically archived and are kept by GNHR, which will retain only programs and procedures run by external researchers. The logs will not include results of their own research.
- All computer output generated by statistical programs and all handwritten notes based on this are subject to disclosure review by GNHR staff before removal from GNHR. Output is restricted to summary tables. In no case may any table contain cells with fewer than five observations. If found, these small cells are suppressed, generally by obliterating them. To ensure that small cells cannot be calculated from other cells in the same row or column, staff make illegible the totals for the rows and columns corresponding to the small cell. Once the disclosure review is completed, researchers receive a photocopy of the final tabulations. GNHR staff use best practice in determining whether tabular data are identifiable and are conservative in their decisions. GNHR decisions are final and not subject to negotiation by researchers.

I. Submission of Research Proposals

Researchers must submit proposals using the Form for Access to Data in The GNHR Data Enclave. Prospective researchers are encouraged to check with GNHR staff before writing their proposals to ensure the data of interest to them is available.

Researchers should develop their proposals in a way that helps GNHR staff create the analytical files required for the project. Proposals should be explicit about the variables needed and any case selection required. Only data items needed for the proposed analyses will be included in the analytical data file and proposals should say why the requested data are needed. Overly large and complex projects or those poorly defined require extensive communication between GNHR staff and the proposers. This can make the process move slowly. Work to prepare data files can be accomplished most expeditiously if large, complex projects are subdivided into manageable parts and requested data are clearly defined.

Researchers wishing to link GNHR data with external data should provide the latter to GNHR staff before coming to GNHR. Upon receipt, the research proposal is evaluated for that purpose. The following criteria apply to a proposal review:

- Scientific and technical feasibility of the project.
- Availability of GNHR resources.
- Risk of disclosure of restricted information.

Researchers should note that approval of their application does not constitute endorsement by GNHR of the substantive, methodological, theoretical or policy relevance or merit of the proposed research. GNHR approval is only a judgement that the research described in the application is not illegal use of the requested data file, and that it is highly probable the project can be completed successfully at GNHR.

10.5. Template Form for Affidavit of Confidentiality

This affidavit of confidentiality² must be signed by any investigator listed in the application forms.

I agree:

- 1) To make no copies of any files or portions of files to which I am granted access except those authorized by GNHR staff. No confidential data or information viewed or otherwise obtained while I am a researcher in GNHR will be removed from GNHR.
- 2) To return to GNHR restricted material with which I may be provided during the conduct of my research at GNHR, and other material as requested.
- 3) Not to use any technique in an attempt to learn the identity of any person, establishment or sampling unit not identified in public-use data files.
- 4) To keep in strictest confidence identification of any establishment or individual that may be inadvertently revealed in any documents, discussion or analysis. Such inadvertent identification revealed in my analysis will be immediately brought to the attention of GNHR.
- 5) Not to remove any print-outs, electronic files, documents or media until they have been scanned for disclosure risk by GNHR. I understand that GNHR will perform a disclosure review and give me approval before I remove any data from GNHR, whether they be in electronic or paper form.
- 6) Not to remove from GNHR any written notes pertaining to the identification of any establishment, individual or geographical area that may be revealed in the conduct of my research at GNHR.
- 7) To comport myself in a manner consistent with the principles and standards appropriate to a scientific research establishment.

I understand that deliberate violation of any of these conditions may result in cancellation of the data access agreement. I further agree that in such event I may be barred from any future use of GNHR following a review and determination by the Coordinator of GNHR that finds such action is necessary to protect the integrity and confidentiality of GNHR.

- Data Investigator Name: _____
- Signature: _____
- Date: _____

- Witness's Name: _____

² *This affidavit of confidentiality is an adapted version of the 2008 version of the Agreement Regarding Conditions of Access to Confidential Data in the Research Data Center of the US National Center for Health Statistics*

- Signature: _____
- Date: _____

10.6. Template for MOU between GNHR and SP Programme requesting for Micro-Data

This Memorandum of Understanding (MOU) sets for the terms and understanding between the Ghana National Household Registry (GNHR) and the **SP Programme** to share household data.

A. Background

In line with the Government of Ghana's plan to deal with extreme poverty under the United Nation's Sustainable Development Goals (SDGs) number one which is 'To End Poverty in All Forms Everywhere', the Ghana National Household Registry (GNHR) under the auspices of the Ministry of Gender, Children and Social Protection (MoGCSP) has been launched. GNHR seeks to accomplish this mission by establishing a database of households from which all social protection programmes in Ghana will select their respective beneficiaries. The exercise will involve the registration of households and collection of basic information on their socio-economic status to assist social protection programmes.

The GNHR, a one of its kind Single Social Registry in Ghana, will provide four distinct advantages.

- A targeting process that is inclusive, transparent and fair
- A reduction of the duplication of various Social Protection programmes especially in the selection of beneficiaries
- Improved coordination of interventions across the ministries, departments and agencies and rationalize the implementation of the hitherto fragmented social protection sector. This will enhance the efficiency and effectiveness amongst the numerous social protection programmes being operationalized in Ghana.
- The data from the Registry will be used for public policy planning and management as well as research and development in the areas of social protection for the poor and excluded people.

The Ghana National Household Registry (GNHR) tasked with establishing the Single Registry, will be collecting data from households across the country. This data collection exercise is simply a voluntary registration by households. Data from the registry will be used for social intervention programs such as LEAP, Free Health Insurance, Labour Intensive Public Works (LIPW), Ghana School Feeding Programme, and the Free School Uniform Programme among others.

There is no database in Ghana that holds both identity and household data, based on a unique identifier which classifies households into extremely poor, poor, and non-poor and serves as a one-stop shop for targeting and planning interventions for minimizing

and/or eliminating poverty in the country. The mission of the GNHR is to address this problem.

The data collection would be done using CAPI. The data collected includes biometric data and there is the need to ensure that each household member is registered only once in the database.

After the biometric collection and PMT questionnaire interview are completed, the enumerators will transmit the data gathered to GNHR's backend server using the secure data tunnel provided through the tablets. For areas with limited connectivity, the data stored locally and later synced to GNHR's backend server at the end of each day, or once the data collection team has reached an area with connectivity.

The GNHR will check the data reported by the field teams and provide feedback as soon as possible. The data submitted per household is checked for errors and inconsistencies. The GNHR will conduct completeness test on all households received to ensure there is enough information to run the PMT formula.

B. Objectives

The objective of this MOU is to provide the framework within which household data categorized by the GNHR according to poverty is shared with the ***SP Programme***

C. Responsibilities of both firms

The *SP Programme's* responsibilities:

1. In accordance with the Data Protection Act, 2012, the ***SP Programme*** must take steps to keep the data shared by the GNHR secure and prevent unauthorized access to the data.
2. The ***SP Programme*** must report any incidence of unauthorized access to the data to the GNHR immediately.
3. To fully state the criteria for data requested from the GNHR.
4. To notify the GNHR with households that have been enrolled from the data received.
5. To update the GNHR quarterly with updates of household data per the ***SP Programme's*** interaction with the households.

The GNHR's responsibilities:

1. To provide non-anonymized, cleaned dataset of household data per the criteria stated by the ***SP Programme***

2. To receive the notification of households enrolled on the programme following the **SP Programme's** receipt of the household data and enrolling eligible households.
3. To receive updates of household data through the GNHR REST service.
4. To initially provide household data every four (4) months after the sharing of the first dataset. This frequency will be reviewed until a stage where the data exchange is real-time.

D. Terms of the agreement

The data shared is subject to the following conditions:

- 1) Microdata (including subsets of the datasets) provided by the GNHR will not be redistributed or sold to other individuals, institutions or organizations without the GNHR written agreement. Non-copyrighted materials which do not contain microdata (such as data collection questionnaires, manuals, codebooks, or data dictionaries) may be distributed without further authorization. The ownership of all materials provided by the GNHR remains with the GNHR.
- 2) The **SP Programme** will acknowledge the GNHR for its role in providing the data each time the dataset is used.
- 3) Any books, articles, conference papers, reports or other publications employing data obtained from the GNHR shall cite the source, in line with the citation requirement provided with the dataset.
- 4) An electronic copy of all publications based on the requested data will be sent to the GNHR.
- 5) The GNHR and the relevant funding agencies bear no responsibility of the data's use or for interpretation or inferences based upon it.
- 6) Data will be stored in a secure environment, with adequate access restrictions. The GNHR may at any time request information on the storage and dissemination facilities in place.
- 7) **The SP Programme** will provide an annual report on uses and users of the listed microdata sets to the GNHR, with information on the number of researchers having accessed each dataset, and on the output of this research.
- 8) This access is granted for a period of [provide information on this period, or state that the agreement is open ended].

E. Criteria

List below the criteria for the data required from the GNHR.

Cutoff for PMT score/Poor/Non-poor

Name of contact
person:

Title of contact person: **National Coordinator, GNHR**

Address of the GNHR: **Ministry of Gender, Children & Social Protection, MBO 186,
Ministries, Accra**

GNHR Email:

GNHR Tel: **0302 631 107, 0302 631 099**

G. Signatories:

The following signatories have read and agree with the Agreement as presented above:

Representative of the GNHR:

Name _____

Signature _____

Date _____

Representative of the *SP Programme*

Name _____

Signature _____

Date _____