Review of FSA Social Science: Annex 3A GSR Code self assessment

Department: Food Standards Agency (Social Science Team)

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How to complete the template

Red, Serious concerns

- you have very limited/no control over application of this indicator and/or
- · systems not in place or in development and/or
- you know or suspect that practice is highly variable

Amber, Development area

- you have some control over application of this indicator and/or
- procedures may be in development and/or
- practice is reasonably consistent, but you may have some concerns

Green, Strong

- you have sufficient control over the application of this indicator and/or
- you have clear procedures/guidance in place (if appropriate) and/or
- you are confident that these are known and applied most of the time

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GSR Products

Rigorous and Impartial

- based on sound methodology and established scientific principles
- · quality assured
- based on best design, given constraints
- conclusions are clearly and adequately supported by data

Self- Evidence to support Indicators assessment assessment rating rating

Project
design
RED:
Projects not
formally
reviewed
(either
internal or
external
review) at the
design stage
of a research
project.
AMBER:
Some
projects are
reviewed at
design stage,
but practice is
inconsistent
or processes
in
development.
GREEN:
Processes in
place for
appropriate
formal review
internal or
external to
organisation -
at design
stage of all
projects to
ensure that
decisions on
methods and
methodology
represent the
best options,
given
available
budgets and
time
constraints.

Amber to

Green

Project specs are always reviewed internally – at least by G7, often G6.

External peer reviewers may be appointed at the beginning of many projects, and review the project specs.

This isn't currently applied across every single project: a decision is made on a case-by-case basis subject to the pace, complexity and purpose of the work.

Risk that the quicker turnaround project designs aren't reviewed to the same extent as other projects. This may be appropriate as there is a need for proportionality, but there could be a more consistent, formal process to decide which projects need external peer review, and for which internal review is sufficient.

Processes are in place for example,: ACSS QA Gateway for (almost) all new projects (there are some exceptions to this (for example, very low value and/or quick turnaround survey work) The new ACSS QA gateway process may bring this up to a "green", by ensuring that new projects are externally reviewed at design stage.

Recently have begun uploading project plans to the Open Science Framework: https://osf.io/

Quality assurance of outputs

RED: No formal procedures in place to quality assure outputs. AMBER: Processes in place for internal quality assurance but no formal mechanisms in place to ensure that outputs are appropriately independently reviewed. GREEN: **Processes** and guidance in place to advise on appropriate quality assessment at completion, including external and internal peer review as and when necessary, to ensure that methods and analysis have been rigorously executed, and conclusions are clearly and adequately supported by

data.

Amber to Green

Most project outputs are externally peerreviewed by the ACSS or the FSA's Register of Experts.

This isn't

currently applied across every single project: a decision is made on a case-by-case basis subject to the pace, complexity and purpose of the work. When there is sufficient capability inhouse, outputs are quality assured internally. Some work has its own Steering / Advisory Group. Quality assurance also sought from crossgovernmental colleagues working on similar issues (for example, behavioural Handwashing project review by crossgovernment handwashing group)

Register of Specialists and ACSS demonstrate well established mechanisms for seeking peer- review.

The new UCL Quality Assurance Toolkit is a further opportunity to embed good practice

Relevant

- anticipates future policy issues as well as addressing current ones
- answers clear and researchable questions
- contributes to all stages of the policy and delivery process
- delivers solutions that are viable, actionable and represent value for money.

Indicators	Self- assessment rating	Evidence to support assessment rating	Issues or risks	Good practice	
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Short/long term balance

RED: The balance of short and long term social science work is not appropriate for the requirements of the evidence base. Little or no contribution to departmental horizon scanning work or attempt to anticipate future research needs. AMBER: There is a reasonable balance of long and shortterm social science research but improvements necessary. Some attempt to anticipate future issues, possibly through GSR contribution to departmental horizon scanning work. GREEN: There is a good balance of long and short-term social science research. Future policy needs are anticipated, and GSR contributes to departmental horizon scanning work.

Amber to Green

We regularly monitor wider food trends and compile any stories that are of interest in a document on our shared drive. Every few weeks, we circulate the most interesting / relevant news stories across AU and also do an internal Yammer post.

We conduct timely research on our rapid testing platform via the call off contract with Ipsos, for example, Alt Proteins report, Healthy sustainable diets report.

We have started doing a monthly publication for the consumer insights tracker, increasing frequency so that customers can always quote the latest figures.

We also have a suite of longterm tracking surveys, for example, Food and You 2, Consumer Insights Tracker, FBO Tracker. We led and contributed to various pieces of FSA horizon scanning work in 2020 and 2021 for not only the short term but the medium to long term for example, FSA Covid-19 Horizon Scanning, social media listening

We delivered a whole programme of work at pace to meet evidence needs during Covid, for example, the Covid tracker and the handwashing tracker.

To inform the development of the new 3rd pillar of FSA's strategy, we have published evidence reviews and research on healthy sustainable diets and developed new questions added to F&Y2.

More work is done for the short term than the long

term.

Departmental business planning

RED: Little or no involvement in the development of departmental business plan, including input and impact indicators, or input to how performance against priorities will be managed. AMBER: GSR provides ad hoc analysis to inform development of departmental business plan, including input and impact indicators, and measuring of performance against priorities. GREEN: GSR is proactive and successful in providing analysis and advice for departmental business plan, including input and impact indicators, and development, monitoring and delivery.

Performance resources report which utilises Food and You 2 and Consumer Insights Tracker data

Our data contributes to the published Annual Report and Accounts

We conducted an internal piece of research to improve FSA Diversity and Inclusion Evaluation Action Plan published.

Amber to

Green

We produced a whole tranche of work in good time to inform the new third pillar of new FSA Strategy (for example, Public interests needs and concerns around food) Liaising with policy stakeholders on F&Y2 questionnaire to cover emerging areas of interest, for example, GE, GM foods

SS team member on each of the cross-FSA Area of Research Interest (ARI) Steering Groups.

Regular catch ups and key OGDs/research funders for example, Defra.

Strategic level sign-off

RED: There are no mechanisms in place for research programmes and projects to be signed off at policy and/or Ministerial/equivalent senior post for example, CEO level. AMBER: Some individual projects receive policy and/or Ministerial/equivalent senior post for example, CEO sign off, but there is scope for more engagement at this level and plans are in place to address this. **GREEN: There is** policy and/or Ministerial/equivalent senior post for example, CEO sign off for all research programmes and projects.

Portfolio/ARI
Steering
Groups
comprised of
the policy
stakeholders
sign- off the
bid for funding
for the project.

Investment
Board (IB)
process – all
projects have
to be signed
off at Director
level for
funding
approval.

Our commissioning process – policy teams approach us to conduct work

ACSS QA Gateway signs off new work design We get sign off from policy area leads for final outputs, for example, fieldwork materials, reports Future Publication Panel (FPP) process requires project reports to be signed off by a DD panel for all publications not considered low risk by head of SERD.

We brief the top of the office on new publications, including the research methodology and its limitations, so CEO/CSA Chair have sight prior to publication.

Amber to Green

Impact is assessed RED: No post-hoc assessment of the impact of research. EPI forms help Difficult for HoPs to us establish provide evidence of impact the impact of social throughout the research on policy lifecycle of a and delivery. project. AMBER: Some adhoc assessment of Social Science Engaging with research but not Impact Log, external research consistently applied, which tracks users. or processes may be our in development. Post project review dissemination Some evidence of of impact activities and the impact of social following up with how our data research. Amber to policy to has been GREEN: Appropriate Green understand which used. processes are in impacts we place to assess the Food and You anticipated have usefulness/impact of 2 feedback been realised / the research and the survey sent to which extent to which it policy and recommendations has answered policy other implemented. questions, including stakeholders feedback from (not yet sent policy/delivery draft survey colleagues on uploaded as project completion. evidence). HoPs are able to produce examples of **Tracking DOIs** policy relevant research for both current and future policy issues.

Overall rating (1 to 10): 8

Accessible

- published
- data made available where possible
- clear and concise
- related to existing work in field

Self-Indicators assessment rating Evidence to support assessment rating

Issues or risks

Good practice

Social research reports published on the FSA website under 'Research reports' in line with accessibility guidance (now in HTML format).

Social research reports and data tables are published in line with accessibility guidelines. The FSA Intranet has a whole area and pages dedicated to accessibility, with guidance and templates (to use internally and share with contractors) and training videos. We also have a folder in the Social Science **Teams** channel with accessibility guidance, resources and templates. All members of the social science team have

attended

training

the FSA

comms

team), and

sessions and

refresher

accessibility

(provided by

Example comms plans from recently published research projects: The UK Public's interests, needs and concerns around food A rapid evidence review on sustainability

Working groups / workshops with FSA colleagues across different teams, with reports shared and published. For example the Climate Change and Consumer Behaviours workshop with

Published

RED: Outputs are not routinely published according to **GSR** Publication Guidance.

FSA research is published as standard in line with our open and transparent principles, not always but usually within 12 weeks of receiving final output as per GSR publication guidance. The majority of

our research

Transparency policy (published on the Intranet here) shows that openness is one of the core values of the FSA.

All research reports are published as HTML now and checked by Samantha Merrett (our accessibility lead in Comms) prior to publication and data tables are shared with John Clowes (data team) for publishing on the FSA data catalogue. Our KIMS team also assess each new dataset for suitability of publication using an online form (process outlined

The Welsh language policy published on our Intranet details how we are legally obliged to

here).

provide all services in Welsh. We liaise with the Welsh Translation Unit to check requirements when Example reports with executive and/or short summaries included:

The UK
Public's
interests,
needs and
concerns
around food
(Executive
summary
included at
start of
report)

Food and You 2 (main findings summary included on webpage in addition to full final report and technical report. Executive summary also included at start of report).

We do usually

ask for 1-3-25

reports in our

specifications

research

but could

further.

embed this

Consumer Insights Tracker.

Rapid evidence review on sustainability is an example report with

Format

RED: Outputs are not sufficiently accessible for all stakeholder groups. Local guidance for authors is not available. AMBER: There is a move towards clear, concise and more accessible outputs but practice is inconsistent or in development. **GREEN: All** outputs are written in clear, concise and jargon free language with short summaries routinely produced. Key messages are easily identifiable and

understood.

Guidance is

available for

Green

Legal and ethical

- complies with relevant legislationcomplies with GSR ethical guidelines

Suggested indicators	Self- assessment rating	Evidence to support assessment rating	Issues or risks	Good practice
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Ensuring good practice in the commissioning, management and conduct of government social research RED: GSR research does not uphold the principles outlined in the GSR Ethics guidance. There is no clear process for identifying and assessing risks which may compromise these principles, or for obtaining further relevant advice and clearance for projects where necessary. AMBER: The GSR Ethics principles are upheld as far as the head of profession is aware, but the process for identifying and assessing risks which may compromise these principles, and for obtaining further relevant advice and clearance for projects could be better embedded.

Amber to Green

For all externally commissioned work, ethics are required in the research specification to be considered by tenderers using the GSR ethical guidelines. We highlight particular areas and additional sensitivities for consideration.

We have, on occasion, sought external advice from an ethical advisory. In addition, our recent behavioural trials have used Kantar's ethical panel. And had extensive ethical procedures for for example, Kitchen Life 2

Ethical issues are included in our discussions regarding new work at the ACSS QA Gateway.

Principle 1: Research should have a clear user need and public benefit

- **Investment Board** Process for approval of research projects to ensure they are it offers value for money and aligns with the needs of the organisation
- Policy of transparency all research is published and presented to internal FSA stakeholders. Research methods used are outlined in all publications along with findings.

Principle 2: Research should be based on sound research methods and protect against bias in the interpretation of findings

- ACSS Steering Group all new research projects are reviewed by the ACSS to ensure that the research questions and methods used are sound.
- QAT asks some high level questions about methods and justification

Principle 3: Research

For GSR ethics principles:

- 1. None
- 2. None
- 3. New team members may not be aware of PIA guidance. Team training session to be arranged
- 4. None 5. Considerations for enabling participation for those who are
- harder to reach (for example, those who don't have internet access those with English as a Second

- Rese is prioritis through A steering groups to ensure projects v clear polic and busin need are prioritised
- Meth 2. reviewed through ACSS. Research work packages protocols signed of prior to w commend
- Data protection of tenderi process. process in place, wit guidance when this should tal place.

Procurement

RED: Social research is not consistently procured in line with GSR Guidance on the Procurement of Government Social Research. Good practice is not followed to reduce burdens to suppliers or maximise value for money and use to the customer. AMBER: Inconsistent application, or knowledge of, GSR Guidance on the Procurement of Government Social Research and application of good practice. **GREEN: GSR** research is conducted in line with GSR guidance on the Procurement of Government Social Research, backed by departmental procedures and the advice of procurement experts. Unless there is a strong, justifiable reason, all contracts are awarded as the result of competition. Good practice in procurement is followed to ensure that processes are proportionate, burden on suppliers and commissioners is reduced as far as possible, the supplier market is developed, and

processes are

Amber to

Green

Unless it is not possible due to time constraints, all tenders go through the full competitive tendering process.

Procurement team are involved in all tendering processes and moderate the panels. Individual scores are then agreed by consensus.

High value tenders have an external impartial expert on the panel to help ensure quality and value for money. go straight to the call off contractor due to time constraints.

Some contracts

Data security RED: No systems or guidance in place for handling, storing and sharing data. There is concern that GSR members are not fully aware of their responsibilities. AMBER: Systems and guidance in development, GSR members' awareness of data security being addressed as a priority. GREEN: Systems and guidance in place for handling, storing and sharing data in line with CO core minimum standards and relevant legislation. GSR members are fully aware of their responsibilities and actively manage contractors' data security and handling processes.	Amber to Green	Systems and guidance in place for handling, storing and sharing data All contractors must provide details of how they will securely store, process and share personal data in their tender application form/ work package response.	Training on data protection/security is not provided to GSR members beyond the generic information management course.	Mandato Civil Serv data secu e-course every yea

RED: Little or no thought to how data can be used or shared beyond the original purpose of its collection. Inhibits use of data by others and does not use existing data appropriately/where possible. AMBER: Some sharing of data takes place but on an ad hoc basis. Secondary analysis is carried out, but more use could be made of existing sources. GREEN: Ensure data resources are made best use of by us and others, by making them openly available as far as possible. Data management and sharing considered as part of planning process for new data collection projects, recognising different levels of data sensitivity. GSR members proactively support the re-use of data and make systematic use of data archives where appropriate (for quant and qual data).	Amber to Green	Data tables are routinely published on the FSA website as part of FSA core principles of being an open and transparent science led organisation. We systematically use data from archives other sources where appropriate, for example, for scoping evidence reviews, for our horizon scanning work.	Data shat is planner and complemed by our procomms progreed with Comms.

Overall rating (1 to 10): 8

- make best use of available resources
 give appropriate methodological and impartial evidence-based advice, challenging where appropriate

Suggested indicators	Self assessment rating	Evidence to support assessment rating	Issues or risks
Make best use of available resources/achieve value for money RED: There are no formal processes in place to consider the added value of a project, taking into account the evidence base. Value for money is not monitored throughout the life of projects. AMBER: Inconsistent practice in reviewing the added value of new projects prior to undertaking new research. Value for money is not regularly monitored throughout the life of projects. Processes are in development to address these issues. GREEN: GSR members routinely consider the added value of a project before undertaking new research. Value for money is routinely monitored throughout the life of a project.	Amber to Green	Business case processes for example, VFM ACSS QA gateway process for example, VFM Procurement processes for example, VFM Work with policy stakeholders to understand existing evidence base. Conduct REAs/literature reviews to understand evidence pase and evidence gaps and use this to inform commissioning.	Ensuring documents are up to date

Suggested indicators	Self assessment rating	Evidence to support assessment rating	Issues or risks
Knowledge management RED: Knowledge management is patchy with no mechanisms in place to encourage GSR members to keep up with, share and retain knowledge (including research/methodological/policy developments) at individual or organisational levels. AMBER: Most GSR members undertake knowledge management activities, including keeping up with research/methodological/policy developments relevant to work area. No mechanisms yet in place to help promote the sharing and retention of knowledge at the individual or organisational levels. GREEN: GSR members routinely keep up with emerging research/methodological/policy developments relevant to work area. This activity may be written into their objectives. Mechanisms are in place to ensure that organisational knowledge is shared and retained as appropriate.	Amber to Green	Social Science Library to capture existing research L and D channel library of resources See section on "Appropriately skilled and continuously developed"	Ongoing maintenance of resources Degree to which GSR members are embedded into policy areas (for example, invited to relevant meetings which don't have explicit research needs, have documents shared etc.)

Suggested indicators	Self assessment rating	Evidence to support assessment rating	Issues or risks
Open, fair and honest RED: GSR staff are not given appropriate support and guidance to enable them to earn trust and respect of users of government social science research, research participants and the wider public. Appropriate mechanisms do not exist to ensure learning received from stakeholders is acted upon. AMBER: GSR staff are given some support and guidance in this area, and learning is acted upon in most cases, however, more could be done to support staff and to develop skills. There is some concern that GSR staff are not always making the right judgements in how they deal with stakeholders. GREEN: GSR members work to gain the trust and respect of users of government social science research, research participants and the wider public, and are given appropriate support and guidance to do this. As a profession, GSR deals openly and fairly with research customers and other stakeholders, acting upon feedback and information received. GSR members use good judgement to balance rigour and relevance, build constructive relationships within and outside their profession, and perform their challenge role appropriately.	Green	Insights are published. We measure trust in the FSA and track the reputation of the FSA (FSA Reputation tracker, Food and You 2) Membership of cross-government groups (for example, on behaviour research and evaluation) Disclosure of data and reports for transparency.	

Overall rating (1 to 10): 8

Appropriately skilled and continuously developed

- recruited and promoted in line with GSR recruitment protocol
- committed to continuous professional development in line with the CPD handbook

Suggested indicators	Self assessment rating	Evidence to support assessment rating	Issues or risks	Good practice
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Recruitment and induction RED: GSR members not recruited in line with GSR Recruitment Guidance. No formal arrangements for local induction. New recruits not encouraged to attend central GSR induction. AMBER: Some GSR members are recruited in line with GSR protocols. Local induction processes are in place, but these are not applied consistently for all new recruits. New recruits are encouraged to attend central GSR induction. **GREEN: All** members are recruited and promoted in line with the GSR Recruitment Guidance using either locally managed procedures or by drawing on a centrally managed process. [For corporate members this should apply to all members recruited from point organisation joined GSR]. Formal procedures are in place for inducting new recruits to organisation, and to GSR if recruited externally. External recruits encouraged to attend

central GSR

induction, and this is routinely taken up when available.

Green

Excel document of team qualifications, years of experience etc.

All our members are recruited in line with the GSR recruitment protocol.

Continuing Professional Development

Development RED: Development plans not routinely produced and members not routinely achieving and/or recording 100 hours of CPD. No discussion of current/ future skills needs at unit and/or organisational level. Perceived or actual lack of development opportunities locally. Few CPD opportunities identified or promoted at unit/organisational level. AMBER: Development plans

are generally produced. Evidence that some GSR members are achieving and/or logging 100 hours of CPD. Skills needs at unit and/or organisational level may have been discussed but no formal plans are in place. Some development opportunities are identified and promoted at unit/organisational level.

GREEN:
Development plans
are routinely
produced. Evidence
that most GSR
members are
achieving and/or
logging 100 hours of
CPD. Opportunities
exist for members to
discuss their

exist for members to discuss their professional CPD on an annual basis. Recognition at unit

Recognition at unit and/or organisational level of current and

Green

Individual CPD logs Team CPD log SERD capability plan including for social science. The individual, with the support of their line manager, are expected to produce their own development plan

We have made an active choice not to conduct a skills audit. Individual CPD logs

On a team level and individual level we have a lot of CPD and have now created a team evidence log for this

L&D Teams chat channel to share events. Feedback given to the rest of the team from individuals regarding L&D.

Career and talent management

RED: HoP has little or no control over facilitating/supporting career moves of GSR members. Little guidance offered to members about career management and how to gain broader/deeper experience within/external to the organisation. Little/no promotion of leadership development amongst GSR members at any level. Access to talent management opportunities is limited. AMBER: HoP has some influence in facilitating/supporting career moves of GSR members but in organisational context more could be done. Opportunities such as leadership development, talent management, broader experience and take-up of generic analyst roles are available but these could be better promoted. Promotion of leadership skills development focuses only on senior members. GREEN: HoP plays active role (as appropriate) in managing the career development of GSR members and promotes opportunities to develop and demonstrate

leadership skills at all levels within the

Amber to Green HoP, with team. enables all individuals to gain experience of different work areas (as best as possible subject to business needs) as well as line management opportunities

Fast Streamers have successfully rotated within the team to date

2 members of staff have recently been seconded and loaned to other departments. Managed moves are not really feasible due to workload / resourcing pressures

The small and centralised nature of the team means there are limitations on internal career moves (for example, we have no GSR SCS)

Regular career conversations with team members as part of line management responsibilities, for example, Talent and career conversations, for example, Mentoring

All GSR members are encouraged to play an active role in X-govt groups & GSR working groups. Several are currently active.

Access to talent management opportunities, for example, Civil Service talent and accelerated development schemes.

Badging exercise will be held in 2023 for non GSR members.

Overall rating (1 to 10): 8

Outward facing

- establish effective links with the external research community
- actively collaborate with policy/delivery colleaguesactively collaborate with other analytical professions within and across departments

Suggested Self- indicators assessment	Evidence for support assessment rating	Issues or risks	
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External research community:

RED: Some links with the external research community pursued but not very well developed. No plans in place to identify more. Potential for external engagement not realised. AMBER: Some wellestablished links with external research community. Further links identified and plans may be in place to follow up, but not systematic. More emphasis needs to placed on this kind of activity for example, engaging with both individual external experts and external research bodies. **GREEN: GSR** members engage actively in developing links with the external research community in their work/policy area. Strategic plans in place to support this activity, for example, external social research advisory committee in place, joint funding of research programmes or centres with external research bodies, consulting externally on research

programme.

Green

Advisory Committee for Social Science (ACSS) and working groups in place to advise on research programme / projects and provide links with academics working in food research Regular presentation of our research to ACSS and other FSA committees (ACMSF, WFAC, NIFAC) Research fellowships and PhD studentships in place. Research fellow embedded in the social science team, providing links with academia Register of Specialists in place and used to identify and commission peer reviewers Joint funded projects with UKRI Active engagement and dissemination of research to external research community including academics, research agencies and third sector organisations doing their own research for example, WRAP, Food Foundation, Trussell Trust. The Consumer Insights Tracker excels at this.

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Other government analysts

RED: Few opportunities for GSR members to work with, or gain knowledge of, the other analytical professions. Limited engagement with other analytical HoPs. AMBER: Some notable interaction and working by GSR members with the other analytical professions. Mechanisms for planning or facilitating joint working are in their infancy. Established contact/engagement with other analytical HoPs. **GREEN: GSR** members are aware of the contribution of the other analytical professions, know when and how to engage them and there are good examples of working together where appropriate. Mechanisms for the joint planning of analysis are well in development or have been implemented. Routine and constructive contact with other analytical HoPs.

Green

Regular engagement with wider Analytics Unit (AU) through regular unit level meetings with other analytical professions (and their HoPs) including statistics, operational research, economics and strategic insights (intelligence)

Collaboration with other analytical professions within the FSA on joint projects with other professions for example, consumer insights tracker, F&Y2, Kitchen Life 2, evaluation work

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Policy/delivery community RED: Little interaction with policy/delivery community and structural arrangements do not promote close working relationships. AMBER: GSR members do have links with the policy/delivery community but more could be done to increase the visibility and input of GSR into the policy cycle. GREEN: GSR members act as educators, internally and externally, promoting the profession of GSR to key stakeholders and working collaboratively with these stakeholders to ensure the relevance, comprehensiveness and applicability of social research output. Appropriate structural arrangements are in place for the allocation and location of social researchers, which allow close working relationships with key stakeholders.	Green	Team members have good links with FSA policy community and are regularly approached by Policy for analytical input.	Subject to resources, we could play a more active educative role with policy teams (for example, running introductory/training sessions for policy)	Re Pr Gr clo gr co on sta