



Administrative Data
Research Network

An ESRC Data
Investment

Institutional Guarantor

Policy and Procedure

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Scope

This document outlines the Administrative Data Research Network (ADRN) policy in relation to Institutional Guarantors and the procedures for verifying institutional guarantor identity.

Background

Researchers applying to the ADRN do so with the explicit support of their institution and an acceptance by that institution of the terms and conditions under which a researcher uses the Network. This includes potential penalties or sanctions which will apply to applicant’s institution if the applicant breaches the terms and conditions which apply to users of the Network.

These procedures do not cover in detail the application process for an ADRN project or an ADRN researcher.

Definition of Terms

See ADRN018 – Glossary for a definition of terms.

1. Policy

1.1 Every researcher named in an ADRN project application will be required to complete a researcher application form.

1.2 Every researcher applying to the ADRN will be required to identify an appropriate Institutional Guarantor for their application and arrange for their Guarantor to endorse their application.

1.3 Researcher applications will only be accepted by ADRN if they have been countersigned by an Institutional Guarantor.

1.4 In order to act as an Institutional Guarantor an individual must have the legal status to represent the researcher's institution (e.g. the Director of Research Grants and Contracts or equivalent post).

1.5 The ADRN will take steps, detailed in the following procedure, to verify the identity of the Institutional Guarantor.

1.6 In the event of serious and/or consistent breaches of security by researchers from specific institutions ADRN will reserve the right to limit or remove access to ADRN services to all applicants from these institutions, as detailed in the ADRN Breaches Policy (ADRN003).

2. Procedure

Background - Completion and submission of applications

2.1 Following initial enquiries about the potential to use ADRN, the lead researcher of an ADRN project is provided with a researcher application form and a project application form. The lead researcher is required to provide a list of names for any additional researchers involved in the project – and each additional researcher will be required to complete a separate ADRN researcher application form. In order to apply to access data via the ADRN all researchers on a project must complete a Researcher Application Form, and the lead Researcher a Project Application Form.

2.2 Researchers complete Sections 1-8 of the researcher application form.

2.3 Researchers will, using their institutional email account, forward their Researcher Application Form to their Institutional Guarantor using their institutional email account. This email, with the attached file, will act as an electronic signature and demonstrate their acceptance of the ADRN Terms of Use (ADRN021).

2.4 The Institutional Guarantor will complete Section 9 of the researcher application form and, using their institutional email account, forward the completed form, as an attachment, to help@adrn.ac.uk. This email, with attached file, will act as an electronic signature and demonstrate their acceptance of the ADRN Terms of Use (ADRN021).

Verification of Institutional Guarantor identity

2.5 On receipt of completed applications via help@adrn.ac.uk, ADS User Services staff will review the content of applications to ensure they have been completed correctly. Application forms which are incomplete – or have not been submitted following the procedure outlined in the “**Background – Completion and submission of applications**” section will be returned to the researcher named on the application for correction and resubmission.

2.6 Correctly completed researcher application forms will be saved in PDF format within a folder based filing structure. ADS User Services will log the receipt of the completed application, and the completion of verification checks.

2.7 ADS User Services (ADS US) will check that the institutional email addresses used to forward the application form are from institutional email domains (i.e. .ac.uk, .gov.uk, etc).

ADS US will also check that the email address the researcher application form has been returned from, matches the email address listed in the application form as that of the guarantor.

2.8 ADS User Services will use publicly accessible sources of information to verify the existence of the guarantor – e.g. checks institution website to confirm name of guarantor matches name of Director of Research Grants and Contracts (or equivalent post).

2.9 ADS User Services may, on occasion, utilise a 'ring back' procedure to verify the identity of the Institutional Guarantor. A general contact number for the institution will be used (e.g. the main switchboard number of an institution as listed on an institutions website) and the Institutional Guarantor will be asked for by name. ADS User Services will then verbally confirm that the individual has submitted the relevant application as a Guarantor.

It is anticipated that this procedure will be applied infrequently and only if any reason for concern is identified through the checks described in the preceding sections of the procedure.

2.10 ADS User Services will use help@adrn.ac.uk to email a confirmation of receipt to the named Institutional Guarantor – using the standard text in Appendix 1. This email will include links to the ADRN Breaches Policy and Procedures and copies of these documents will be attached.

2.11 ADS User Services staff will record the outcome of the verification checks in a log.

2.12 If none of the above procedures allow for the identity of the Institutional Guarantor to be verified the application will be rejected. The researcher named on the application will be notified of the rejection along with an explanation of the inability to verify the identity of the Institutional Guarantor.

Appendix 1 - Receipt of researcher application(s) confirmation email to institutional guarantor

Title: RE: ADRN Researcher Application form - [*insert researcher SURNAMES*]

"Dear [*insert name of Institutional Guarantor*]

Thank you for submitting completed researcher application forms for [*insert names of researchers*] to the ADRN.

For your information I have attached the ADRN Terms of Use and the ADRN Breaches Policy and Procedures, which is also available on our website www.adrn.ac.uk.

If you have any queries please do not hesitate to contact us:

Kind regards

[*insert name of ADS Staff member*]

[*insert relevant ADRN HELP signature*]

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