



Administrative Data
Research Network

An ESRC Data
Investment

ADRN Researcher

Policy and Procedures

PUBLIC

04 November 2016

Version: 02.00

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Scope

This document outlines the policy and procedures which define who can be considered an ADRN researcher and access data in relation to an ADRN project. The component parts of the ADRN act as a Network, therefore once an individual fulfils the requirements, they can access data using any of the ADRN secure environments. .

ADRN is a member of the Safe Users of Research data Environments Training (SURE) Consortium and has taken part in developing the training programme and training materials in use. This policy recognises the participation of the ADRN in the Consortium, but does not include the administration of the Consortium, the provision of training or the choice and management of trainers. .

Definition of Terms

See the ADRN Glossary (ADRN018) for definitions of the terms included in this procedure.

1. Eligibility Criteria

a) Affiliation with qualifying organisation

In order to become an ADRN researcher an individual must provide evidence that they are affiliated¹ with a UK academic institution² or are an employee of a UK public sector organisation or are an employee of a research organisation on the Research Councils UK list of eligible independent research organisations (available on <http://www.rcuk.ac.uk/funding/eligibilityforrcs/>).

And will identify, and obtain evidence of support of, a suitable institutional guarantor for their application to be an ADRN researcher fulfilling the requirements of ADRN012 *Institutional Guarantor* Policy and Procedure.

b) Demonstration of 'fit and proper person' status

In order to become a ADRN researcher an individual must provide evidence that they

i) have relevant expertise in doing research with secure/administrative data

or

are a member of an ADRN project team which includes at least one member with the appropriate knowledge to supervise his/her work

ii) are capable of carrying out the research either independently or under the direction of an appropriate supervisor or lead investigator. ADRN will assess researchers to determine whether they can be considered 'fit and proper' through defined procedures, as described below.

c) successful completion of any training requirement the ADRN prescribes

i) In order to become an ADRN researcher an individual must attend a SURE Training session and successfully complete the accompanying test

ii) In order to become an 'associate' researcher an individual must complete the SURE 'associate' training module.

¹ 'Affiliated is defined as affiliated to a UK academic institution which will act as institutional guarantor for them (this can extend to honorary positions, such as visiting fellowships, subject to the individual securing an institutional guarantee from the relevant institution).

² Limited to the organisations listed here: <https://www.gov.uk/check-a-university-is-officially-recognised/recognised-bodies>

2. Tiers of Access

The ADRN facilitates projects that are undertaken by research teams, typically involving a number of individuals. Within these teams there are a range of different project roles undertaken, and as such there will be a variation in requirements to access data across the members of a project team. In recognition of this the ADRN has adopted a tiered approach—directly related to the data which it is necessary for the individuals within the team to access.

Table 1 sets out the categories of researcher based upon their requirements for data access.

Access required	Category of researcher	Requirements
Access to linked data sets in secure environment	ADRN researcher	<p>They meet the eligibility criteria described in section 1a</p> <p>They can demonstrate they are a 'fit and proper person' as defined in section 1b.</p> <p>Successfully completed SURE training as defined in section 1.</p> <p>Their eligibility to use the ADRN is not currently suspended under the terms of the ADRN Breaches policy (ADRN003)</p>
<p>Access to project outputs in an advisory capacity, but does not need access to data in the secure centre.</p> <p>OR</p> <p>Access to intermediate outputs (if available from the ADRC)</p> <p><i>(NB: Dependent on which ADRC is facilitating data access this status may not be available)</i></p>	ADRN Associate researcher	<p>They meet the eligibility criteria described in section 1a.</p> <p>They can demonstrate they are a 'fit and proper person' as defined in section 1b.</p> <p>They have successfully completed training to become an 'associate Researcher' as defined in section 1c.</p> <p>Their eligibility to use the ADRN is not currently suspended under the terms of the ADRN Breaches policy (ADRN003)</p>
Access to final outputs only	Members of the wider research team members	None, i.e. not included under this policy.

3. Loss of ADRN Researcher Status

Eligibility to use ADRN services can be withdrawn if any of the criteria for eligibility are not met, including when:

1 – the researcher no longer meets the eligibility criteria (e.g. if they change employment their original institutional guarantor will no longer be relevant)

2 - the institutional guarantee for a researcher is withdrawn by their guarantor

3 – any supervision deemed necessary for the researcher to be considered 'fit and proper' is withdrawn – including those cases where a PhD student is required to demonstrate the support of their supervisor.

4 - a total time of two years has passed since the last test. Practice may have changed in this time, therefore, in this case, the researcher will be required to retake and pass the test. If the test is not passed, then the researcher will be required to retake the training.³

5 - the researcher commits a breach as outlined in ADRN003 Breaches Policy. The Breaches Committee decides penalties for the breach which can include temporary suspension and mandatory undertaking of training, or permanent suspension and hence loss of researcher status.

4. Verification Procedures

The ADRN will verify that all the researchers who apply for an ADRN project meet the criteria outlined above. For this purpose, the ADRN will verify that the eligibility criteria have been met.

The researcher's identity and affiliation with an eligible UK institution will be checked by the ADRN through the following processes:

- The researcher will be required to use the institutional email address which matches that used within their researcher application for application submission and all communication regarding use of the ADRN,
- Researchers will be asked to provide proof of identity and proof of affiliation when attending ADRN Accreditation training and when attending a safe setting to access data (acceptable documentation is listed in Appendix 1).

The ADRN will verify that the 'fit and proper person' evidence is sufficient by reviewing the information collected in the researcher application form (ADRN005), including the requirement for previous research experience including the assessment of references to past experience and work that can demonstrate his/her ability to carry out research similar to that which will be carried out within the ADRN.

³ In the case of researchers trained before 04/01/2016 then the completion of training will cease to be valid when three years has elapsed since the date of the training. The researcher will be required to retake and pass the test. If the test is not passed, then the researcher will be required to take the training course in full. (This also applies to ADRN staff who are required to have undertaken the training)

5. Researcher Record Management Procedures

Researcher applications are held within a Sharepoint database, provided by ADS, with access available to all ADRC staff who require access in relation to the delivery of the ADRN service.

Access to the database is managed by ADS, requests for access must come from ADRC user services teams.

The Sharepoint database allows for confirmation of validity of information within the application to be recorded, along with recording of eligibility, training completion, breaches, etc ('Researchers' Sharepoint section).

Responsibility for updating of researcher records within the Sharepoint database are as follows:

Information	Section/field in Sharepoint	Responsible for recording
Required information relating to the researcher, their previous experience, etc,	Input to Sharepoint via the 'Public facing' webform	Applicant
Researcher has submitted their application to their Institutional Guarantor	Research Applications / Status – will show 'Awaiting Guarantor'	Automatically captured when form is submitted by applicant
Verification of institutional guarantor status (i.e. the guarantor has approved the application)	Research Applications / Status - will show 'Approved'	Automatically captured when form is submitted
Guarantor details checked – to ensure appropriate individual has 'guaranteed'	Researchers \ log_check_guarantor_suitable	ADS
Researcher meets eligibility criteria to use ADRN	Researchers \ log_check_researcher_eligible	ADS
Date of completion of training	Researchers\ Date of Training & training_receved_at	ADRC where training was delivered
Date of successful completion of test	Researchers\Log_Date_Test_Passed	ADRC where training was delivered
Date that training 'expires'	Researchers\Training Expires	Automatically generated based on test passed date
Details of breaches of ADRN terms and conditions	SuspensionEndDate (for end date of a suspension) & Sanction Notes (description of any sanction)	ADRN breaches committee

Appendix 1

Acceptable forms of identification as referenced in 5.2.2

- Current and valid staff or student card for academic institution
- Current and valid staff card for employing organisation
- The following forms of photo ID:

passport,

photocard driving licence,

national ID card.