

The Administrative Data Service

Call specification

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Introduction

The AD Service 2013 will be part of the Administrative Data Research Network (ADRN) - a partnership between government departments, research funders, national statistical authorities, and the research community that will reach across the UK to facilitate research based upon linked, routinely collected administrative data. The AD Service 2013¹ will be the administrative data information and coordinating body for the four Administrative Data Research Centres 2013, which are being commissioned through a parallel call. This new data resource will help position the UK at the forefront of research based on linked administrative data.

Within this new resource, the AD Service will act as:

- an authoritative and up-to-date source of information across all the Administrative Data Research Centres (ADRCs)
- a single point of entry and a front line service for researchers who want to use administrative data and/or improve required analytical skills
- a principal point of contact with data owners and ADRCs for negotiations over data access, security and transfer
- a central point of expertise for advice and guidance for ADRCs on issues related to data access, secure and safe settings, researcher training and accreditation
- a focal point for all ADRCs to harmonise, coordinate and promote their activities, including coordination of public engagement strategies.

There will be a central role in the ADRN, in particular in the ADRCs, for the National Statistical Authority (NSA) in each of the four countries in the UK. Discussions to further specify the partnership are ongoing. An additional annex to clarify the arrangements in each part of the UK will be available to accompany this specification later on the website.

The maximum budget for the initial AD Service contract is £5 million for a period of five years. Costs should be calculated on a full economic costs (fEC) basis. As per standard funding rules, the ESRC will contribute 80% of the total budget.

Full proposals must be submitted via the Joint Electronic Submission System (Je-S) <https://je-s.rcuk.ac.uk/> by **16.00 on 4 July 2013**. Applicants must be registered with Je-S to make an application and should refer to the attached detailed guidance for making Je-S applications. If you are not currently Je-S registered and intend to apply, please ensure that you allow sufficient time for registration as no extensions to the deadline will be permitted. Hard-copy, faxed or email applications will not be accepted.

¹ Official JeS funding opportunity title is AD Service 2013

Proposals must be submitted by one Research Organisation, but may involve a collaborative application from more than one Research Organisation. Proposals should clearly set out the proposed structure and arrangements of the AD Service.

Proposals will be submitted to external peer review and assessed by a specially constituted expert Panel. The Panel reserves the right to interview shortlisted candidates. This would take place on 5, 6, or 7 August 2013 (tbc) and applicants will be notified whether they have been invited to interview and /or shortlisted in the week commencing 26 July 2013. **It is expected that the successful grant will commence on 1 October 2013.**

Background

The UK has the potential to achieve world leadership in the research use of de-identified administrative data, routinely collected by government departments and other agencies. Such data, made accessible for research in ways that prevent the identification of individuals, will provide a robust evidence-base to inform research, and policy development, implementation and evaluation. This entails not just the development of a safe, secure and efficient system for linking, managing and analysing administrative data, founded on secure technologies, but on trust between data owners, researchers and all other interested parties, including the public.

The challenges and opportunities set out in the 2009-2012 'National Data Strategy' and a two-day event organised by the Wellcome Trust, ESRC and MRC in May 2011, provided the impetus for establishing the Administrative Data Taskforce (ADT), chaired by Sir Alan Langlands.

The ADT worked throughout 2012 with a range of government departments, academic experts, the funding agencies and representatives from all four nations in the UK, with the aim of improving access to and linkage between government administrative data for research and policy purposes. The initiative was led by ESRC in collaboration with the Medical Research Council (MRC) and the Wellcome Trust.

The ADT report 'The UK Administrative Data Research Network: Improving Access for Research and Policy'² was published in December 2012. It made five key recommendations, which in their entirety sought to establish an Administrative Data Research Network (ADRN). The report identified some key elements within this envisaged network. These were:

- four Administrative Data Research Centres ADRCs - one in each of the four countries in the UK, which is the subject of a commissioning call running in parallel to this call
- an Information Gateway, now referred to as an AD Service, which the present call seeks to commission

² www.esrc.ac.uk/collaboration/collaborative-initiatives/Administrative-Data-Taskforce.aspx

- a Governing UK Board to provide the governance structure and to lead on and offer strategic input into all key aspects of the ADRN activities
- UK-wide researcher accreditation and training
- a strategy for engaging with the public

The legal barriers to accessing and linking administrative data across government departments and other public sector organisations were also highlighted in the Taskforce’s report. Access to and linkage across public sector administrative data can only be allowed to external researchers when such individual level data are anonymised or aggregated. The report, however, highlighted that legal restrictions on sharing data with external researchers vary across government departments and there may also be separate, department specific legal issues to consider when requesting access to data or linkage with other data. The report concluded that: “while there are possibilities to overcome these issues in specific circumstances, the complexity of the situation will remain given the wide permutation of linkage requests that the research community will demand” (p17). Hence legislation was recommended to establish a ‘generic legal gateway’ that would provide a consistent set of rules for data linkage, and a more efficient set of mechanisms for achieving such linkages.

In its report, the ADT also recognised the need for a common approach to be adopted for the accreditation of those who wish to gain access to administrative data for research purposes. It proposed that a UK-wide approach to training should be designed building on existing courses and good practice, which would meet the needs of all organisations providing access to administrative data. The report also emphasised the importance of public engagement.

The ADT Report was presented to Ministers in December 2012 and the official response from Government to the recommendations within the Report is expected shortly. In order to progress the detail required to inform the development of specifications for commissioning, the ESRC set up a Technical Group of experts to concentrate on the role and structure of the ADRCs and the Information Gateway (now named the AD Service), to review both the current landscape for secure data access facilities, and the current training provision and accreditation requirements of data controllers. The Technical Group met in late February 2013 and late April 2013, and its Report was submitted to the ESRC in late May 2013. The Technical Group Report is available as background information and can be accessed at the call website www.esrc.ac.uk/funding-and-guidance/funding-opportunities/26534/ad-service-2013.aspx.

Objectives and functions

The Taskforce’s report argued that “good research design, incorporating appropriate administrative data, requires that the research community should have knowledge about such data – its provenance, coverage, quality, and the conditions surrounding access for research purposes” (p8).

The Technical Group set up by the ESRC elaborated on the role and functions of the AD Service in its Report, and figure 1 (p10) of the Report illustrates the functions of the ADRN and details the core activities of both the AD Service and the ADRCs.

The main objectives of the AD Service are to provide:

- an authoritative and up-to-date source of information across all the ADRCs
- a single point of entry and front line service for researchers who want to use administrative data and/or improve required analytical skills
- a principal point of contact with data owners and ADRCs for negotiations over data access, security and transfer
- a central point of expertise for advice and guidance for ADRCs on issues related to data access, secure and safe settings, researcher training and accreditation
- a focal point for all ADRCs to harmonise, coordinate and promote their activities, including public engagement

More specifically, the AD Service would provide a front line service for users to the ADRN via a website and a helpdesk, including:

- receiving initial applications
- ensuring the progress of quality applications to data owners
- liaising with ADRCs and data owners to ensure that only feasible projects are put forward as data access and/or linkage requests to data owners
- responding to requests for information and advice with a view to encouraging the use of administrative data and to stimulate good quality research applications
- providing clear and timely information on the progress of individual projects

As a principal point of contact for data owners, the AD Service would:

- work with data owners on their requirements for **facility accreditation** at specific ADRCs, determining and advising on the information security requirements that data owners specify in order for ADRCs to provide access to data
- work with data owners to develop and agree a common process of research accreditation and then provide such training across the network
- negotiate over issues of data access, transfer, security, and storage

As a central point of expertise for advice and guidance for the ADRCs, the AD Service would:

- develop guidance for the ADRCs to meet the information security requirements of specific data owners
- broker agreement with trusted third parties providing indexing and linkage services to the ADRCs
- offer advice about existing training, or coordinate new training that lead to researcher accreditation (further details in section titled '[Other call specific details and requirements](#)')

- explore technical, logistical and/or methodological suggestions for mitigating privacy risks

As a focal point for all ADRCs to harmonise, coordinate and promote their activities, the AD Service would:

- develop and manage a register of researchers who have received accreditation to access sensitive data
- establish and coordinate the input of a network of experts in key data (eg health, education) or on a type of research (eg longitudinal analysis) in order to inform decisions about the suitability and feasibility of the proposed research prior to applications and provide the breadth of expertise required by the wider ADRN
- in collaboration with the ADRCs, develop and /or commission new or enhanced guides, online tools, bespoke research, and improved metadata that will benefit the users, the ADRCs, and beyond
- establish a register of outcomes and impacts of research across all ADRCs to promote impact and raise awareness
- coordinate and/or oversee activities of public engagement
- help develop the network of safe settings established by the ADRN within universities

The aim of these activities is to ensure that each ADRC can benefit from a central source of knowledge and expertise in the provision of secure data access facilities and that the resource implications associated with negotiations over these arrangements are minimised.

Additional functions of the AD Service to be delivered in conjunction with the ADRCs and the Governing Board, include:

- leading the development and promotion of a unique identity and branding of ADRN
- undertaking positive outreach with the academic and other stakeholder communities, coordinating communication and outreach plans across the ADRN, and engaging with other related organisations in the UK and overseas to stimulate efficient delivery and use of the service
- contributing to building capacity in the use and management of administrative data in research in close cooperation with other ESRC and non-ESRC investments
- promoting the impact of administrative data by encouraging data citation among and beyond their user community and raising awareness of outcomes and impacts of research that include usage of data from the ADRN

The AD Service, will be expected to coordinate the delivery of these additional functions and respond to any other functions that the Governing Board may propose. Additional funding will be available for new functions agreed with the Governing Board that extend the scope of the AD Service.

To achieve collaboration between the national statistical authorities (NSAs) and the academic experts who would work with them to provide the core functions of the ADRCs, the ESRC will enter into a partnership with the National Statistical Authority (NSA) in each of the four countries in the UK. The NSAs will assist the ESRC during the commissioning process and, subject to the availability of resources, will then contribute to the work of their national ADRC to deliver the core functions. The ESRC is currently in discussions with each NSA to finalise details of their role in the ADRN and their contribution to AD Service.

Eligibility

Applicants must be based at a research organisation eligible for Research Council funding; see the RCUK website for a list of eligible organisations - www.rcuk.ac.uk/research/Pages/Eligibilityforrcs.aspx

The application will be led by a single UK academic institution approved by the Research Councils. Only one proposal is permitted per applying host institution.

Bids involving multiple institutions are welcomed but will be required to demonstrate the added value of the consortium arrangement and how effective working across sites will be achieved.

The Director must be the principal investigator on the proposal.

Other call specific details and requirements

Management and leadership of the AD Service

The AD Service Director will take on representative and leadership roles in the strategic development of the AD Service and relationships with the ADRCs and the other components of the ADRN. The AD Service Director will be expected to dedicate an appropriate percentage of their time to the overall leadership and direction of the ADRC, including time for collaborative working with the ADRCs, strategic partners and funders to develop better ways of working together and to drive harmonisation across ADRN. In deciding the appropriate time commitment, the Director is expected to identify a senior leadership team to support them in the management and leadership responsibilities, and will be required to recruit an experienced project manager and senior administrator to lead the administrative management and reporting functions.

The AD Service Director and the senior team will be expected to demonstrate:

- experience of leadership of multi-institutional partnerships, including excellent communication skills
- excellent negotiation skills and the ability to manage and develop relationships effectively with stakeholders and collaborators
- an outstanding track record in innovative interdisciplinary academic research;
- high quality management skills

- an understanding of relevant infrastructures and how these will be used to develop the Service

The Director will also maintain constructive liaison with key stakeholder organisations, in particular, government departments, training providers, and other related infrastructure operating within the landscape. The proposed staffing structure within the AD Service should also include a public engagement coordinator and communications officer. The proposed roles and responsibilities and structure of all the AD Service management and internal governance will need to be clearly explained in the required attachment to the JeS application form.

Governance arrangements for the ADRN

The ESRC will develop and agree appropriate governance arrangements for the ADRNs. An ADRN Governing Board will be established in coming months to provide strategic direction and scientific advice and assurance. The Governing Board will promote enhanced access to and linkage between routinely-collected administrative data held by various government departments and agencies. It will have cross-departmental, UK-wide membership with an independent Chair. Membership will include the research funders, statistical authorities, independent academics, policy-makers and data owners. The Director of each ADRN and the Director of the AD Service will be ex-officio members of the Governing Board. In addition, regular management meetings will be held with the ESRC to discuss emerging issues and progress against the contract.

Legal barriers

The Taskforce recommended that primary legislation should be sought to provide a generic legal gateway for research and statistical purposes to enable efficient access to, and linkage between, administrative data held by different government departments, agencies and other statutory bodies. Given the complexities and pressures on the legislative timetable, a **dual track approach** was proposed. The establishment of the ADRN will enable improvement in research access to administrative data and lay the foundations ahead of any new legislation.

National statistical authorities

Each of the four National Statistical Authorities (NSAs) will have a prominent role within ADRN. The ESRC is currently in discussions with each NSA to finalise details of their role in ADRN and with ADRNs. As commissioning partners with the ESRC we expect that the NSAs will later form partnerships with the successful applicants, to be governed by a Memorandum of Agreement (MoA). As each of the four countries in the UK have achieved different stages of development in terms of access to administrative data, the relationship and roles of the NSAs will differ, although all will be able to offer expertise in their datasets and other areas such as secure and anonymised data linkage.

- The **Office for National Statistics (ONS)**, established since 2008 as the executive office of the UK Statistics Authority, is the national statistical institute for the United Kingdom. Of specific importance to the ADRN is the ONS's responsibility for the Beyond 2011 agenda in England and Wales, which aims to make better use of administrative data in any future replacement for the decennial Census of Population. Additionally, the ONS holds data which would have significant additional value if linked to administrative data sets (eg Census Longitudinal Study; Annual Population Survey; Labour Force Survey). Data on organisations, including the Inter Departmental Business Register, are key resources which could facilitate linkage between employees and their employers on a longitudinal basis. Such data are currently made available through the ONS Virtual Microdata Laboratory and the secure access facilities of the UK Data Service. The potential to include such facilities, expertise, and data from the ONS within the proposed Administrative Data Research Network will be of value to the network, and so ONS is in a position to play a key partnership role in the ADRCs, the AD Service, and the wider ADRN.
- In **Wales**, the Welsh Government has responsibility for the production and dissemination of statistical information about Wales. This includes the production, processing and dissemination of statistical information, for example in the areas of health, education, housing, agriculture, social care and the environment. The Office for National Statistics (ONS) holds Census data and is responsible for the production and dissemination of information about England and Wales. ONS are also responsible for certain data collections and surveys in Wales as well as the other countries of the UK (eg Labour Force Survey and other household surveys). Discussions are underway with the Welsh Government about the resources, expertise and data to be available to the ADRC and the wider ADRN.
- In **Scotland**, the proposed Scotland-wide Data Linkage Framework (<http://www.scotland.gov.uk/Topics/Statistics/datalinkageframework>) positions the **Scottish Government** and **National Records for Scotland (NRS)** within a structure which will address both research and statistical needs for access to data. Steady progress is therefore underway in Scotland, but with the recognition that the developing Framework should become part of a wider network of activity created by the formation of the ADRN. Discussions about the specification of the partnership, covering issues such as the partnership arrangements with Scottish Government and NRS, and the facilities, expertise and data to be available to the ADRC and the wider ADRN are underway.
- In **Northern Ireland**, the Northern Ireland Statistics and Research Agency (NISRA) has a well established working relationships with the academic sector to develop and manage initiatives such as the Northern Ireland Longitudinal Study. There is an ongoing programme of work to gain access to and develop linkages between administrative sources of data for the 'Beyond 2011' future census programme, and more widely. Discussions are underway with NISRA to confirm the facilities, expertise, and data to be available to the ADRC and the wider ADRN.

Training and accreditation

There is broad agreement on the need for a common approach to be adopted for the accreditation of those who wish to gain access to administrative data for research purposes. The ADRN will be seeking to establish a single UK-wide accreditation framework built on best practice. Accreditation includes trained and approved researchers; accredited access facilities and environments; and approved research projects. A harmonised, UK-wide, cross-governmentally agreed approach to all three is essential if the full benefits of the ADRN are to be realised and the risks of disclosure are to be minimised. As an early objective, a review of the approach to accreditation for researchers conducting their research within the ADRN is to be progressed, co-ordinated by the AD Service in collaboration with the ADRCs and wider stakeholders that include data owners and NSAs. Furthermore, following a review of existing training provision that is already underway, the AD Service, with the ADRCs, will be engaged at an early stage in their grants in designing, developing, and delivering training in collaboration with partners and existing training providers. Once established, the AD Service will lead on the collaboration with data owners to ensure there is a uniform system of researcher accreditation, and to coordinate the provision of training throughout the ADRN.

Safe settings

The Technical Group recommends that the ADRN should use existing accredited safe settings wherever possible, taking account of the access restrictions that data owners require of researchers. Data owners currently use safe settings within their own locations (eg the HMRC Datalab) or have approved such safe settings in external locations to their required standards (eg the secure access facilities within the UK Data Service at Essex). A critical part of the ADRN is to ensure that safe settings are available within the ADRCs, and to enhance the availability of remote safe settings through the development of a network for researchers.

UK wide administrative data sources

Some administrative data sources are GB or UK-wide. These include data held by the Department for Work and Pensions and Her Majesty's Revenue and Customs. Some are country specific, for example administrative data relating to education, justice and law enforcement. Others have both UK-wide and national coverage relating to their creation and governance (eg NHS administrative data). The data owners and the relevant ADRCs will be expected to agree how to address linkage requests across the four ADRCs. Such agreements will necessitate close coordination across the network of ADRCs to ensure that research requests to gain access to various datasets (which may be linked datasets from more than one data owner or subsets of data from one data owner) are directed to the appropriate ADRC. In such instances the AD Service will provide a coordinating role.

Organisational data

Although most administrative data are available at individual or residence level, there are also data at the level of and about organisations. From the outset, the ADRN will

also be providing access to and linkage between government held data about organisations. The AD Service should demonstrate the capability and capacity to support access and linkage to both organisational and individual level data.

Private sector data

The ADRN will not, in the first years, support requests for access from private sector organisations or individuals, nor will it support linkage between private sector and public sector data. However, there is considerable value to socio-economic research in many of the large datasets held by private sector organisations (eg customer databases, service records, financial transactions), and other initiatives with a focus on access and linkage to private sector data (such as the ESRC Business Datasafe initiative) will be developing in parallel. The ADRN and its Governing Board will need to review at appropriate intervals the stated position regarding the private sector, and to explore possible common areas of work between the ADRN and other initiatives that may provide for efficiencies and common approaches. The AD Service will need to remain alert to initiatives aimed at, and debates around, private sector data and have the flexibility to respond to opportunities as they may arise, should they be agreed by the Governing Board.

High level front-line service to users

As a first port of call for researchers who wish to use linked administrative data, a key objective for the AD Service is to offer a high level front-line service to researchers. Researchers should be able to receive the most up-to-date, comprehensive, and actionable advice and guidance and the service should operate both efficiently and inclusively. Researchers should also expect a transparent and accountable service that will inspire confidence in its decisions to support or reject applications. The service should offer researchers a seamless journey during the lifecycle of their project and across the different elements of the ADRN (eg Third Trusted Parties, ADRCs, local secure settings).

Key performance indicators

From the identified objectives in Section 3 above, applicants are expected to propose a set of key deliverables that will be precise and verifiable (activity-based and output-based) and will be achieved during the funding period. The Pathways to Impact toolkit can be found at: <http://www.rcuk.ac.uk/kei/impacts/Pages/home.aspx>

In addition to the **Pathways to Impact document**, a **Justification of Resources** for all expenditure will be required by applicants. The accompanying Je-S application guidance provides all the details for completing the application and should be read in conjunction with this Specification.

All applicants must comply with the ESRC Framework for Research Ethics <http://www.esrc.ac.uk/about-esrc/information/research-ethics.aspx>.

Application process

Full proposals must be submitted via the Joint Electronic Submission System (Je-S) by **16.00 on 4 July 2013**. Applicants must be registered with Je-S to make an application and should refer to the attached detailed guidance for making Je-S applications. If you are not currently Je-S registered and intend to apply, please ensure that you allow sufficient time for registration as no extensions to the deadline will be permitted. Hard-copy, faxed or email applications will not be accepted.

Applicants must be based at a research organisation eligible for Research Council funding; see the RCUK website for a list of eligible organisations www.rcuk.ac.uk/research/Pages/Eligibilityforrcs.aspx.

All applicants should consult the [ESRC Research Funding Guide](#), which sets out the rules and regulations governing funding. The 'Guidance Notes for Applicants' document provides details on the information that applicants will require to submit as part of their proposal.

Assessment of applications

The assessment will be a two stage process. Full proposals will be referred to a minimum of five expert reviewers. Applicants will be asked to nominate two academic peer reviewers, and up to two users of the research from outside the research community. Applicants should seek the reviewers' permission before nominating them. We will also approach independent academic and user reviewers.

Proposals will be then be assessed by a specially constituted expert Panel. The Panel reserves the right to interview shortlisted candidates. This would take place on 5, 6, or 7 August 2013 (tbc) and applicants will be notified of whether they have been invited to interview and /or shortlisted in w/c 26 July 2013.

It is expected that the successful grant will commence on 1 October 2013, for a period of 60 months, subject to a mid-term review after the first two and half years of the grant.

Applications will be assessed on the following criteria:

- Innovation and originality in the **vision** and **strategy** for the delivery of:
 - safe research on administrative data for public and policy benefit
 - broader access to linked administrative data by means of addressing key technical, legal and ethical issues and by engaging researchers
 - enabling research using administrative data
- Expertise in the **delivery** of the AD Service key functions:
 - experience in setting up, managing, and/or running a substantial research resource or centre for the academic research community
 - experience of working with a range of stakeholder, in particular data owners from large government departments

- strong institutional commitment and practical contributions to hosting and sustaining the Service
- A well-considered **approach** and **plan** for:
 - establishing, managing, and running the AD Service in order to meet the objectives and provide the functions set out in section 3
 - a clear timetable for the set up and running of the various functions
 - internal management processes for handling requests from researchers and for progressing approved applications on a timely and sustainable basis
 - a robust management structure with a committed Director, senior leadership team, dedicated project administration, and clear arrangements for co-ordination and management of the strategic direction of the ADRC
 - internal planning and resource management, including staffing strategies
 - engaging with researchers, data owners and the public
 - working in collaboration with other elements of ADRN (eg ADRCs) to harmonise activities and exchange knowledge
 - outputs, dissemination and impact
- **Capability** and **expertise** in other key areas, including:
 - researcher training and accreditation as well as accreditation of settings
 - extending the scope of the AD service in response to other strategic and data developments and opportunities, including use of organisational and business data
- **Skills** and **experience** of the PI and the Senior Leadership Team
 - a demonstrable high-quality record of delivering a front line data related service to researchers to timetable, within scope and budget
 - experience of successful collaborative working with a range of partners
 - significant experience of developing and delivering engagement with public sector data owners to access their data and of building infrastructures for safe access to this data
 - a well established publication track record within their field of study
- **Value** for money
 - effective and well-considered inclusion of existing infrastructure and services within the proposals
 - demonstrable appreciation of the potential to exploit synergies across the ADRN and wider data infrastructure
 - justified costs, with the potential for flexibility once MoAs with NSAs and the other components of the ADRN are agreed

Event for potential bidders

The ESRC will be hosting an event for potential bidders on 13 June 2013 at the Royal Society, London. This will provide an opportunity for potential bidders to learn more about this opportunity. The funder's expectations will be elaborated and there will be a lengthy Q&A session. Further details and the application procedure for the

workshop can be found on the ESRC website. Note that attendance at the workshop is not mandatory for a proposal to be accepted, although the ESRC believes attendance would provide opportunities to build stronger proposals.

Timetable

The ESRC will be following the timetable below for commissioning both the ADRC and the Administrative Data Service:

- Call for full proposals opens - 11 June 2013
- Call closes - 4 July 2013
- Peer Review & Panel shortlisting complete - applicants notified of shortlisting / interview - 26 July 2013
- Interviews and Decision - 5-7 August (tbc) 2013
- Start date - 01 October 2013

Contacts

If you have any questions or would like further information, please contact:

- Maria Sigala
email: maria.sigala@esrc.ac.uk
telephone: 01793 442855
- Vanessa Cuthill
email: vanessa.cuthill@esrc.ac.uk
telephone: 01793 413164

Enquiries relating to technical aspects of the Je-S form should be addressed to:

- Je-S Helpdesk
email: jeshelp@rcuk.ac.uk
telephone: 01793 444164