UKRI research outcomes collection 'Principles of Use'

All UKRI-funded researchers (for example, project leads, principal investigators, unit programme leaders and fellows) are required to provide an annual update on the research outcomes that arise from their UKRI funded research.

These principles of use relate specifically to the research outcomes information collected through the Researchfish system by Elsevier on behalf of UKRI; they describe how it is used and subsequently published by UKRI.

1. **Definitions**

- UKRI councils – collective term used in this document to refer to the seven UK Research Councils which were formerly independent and are now constituent parts of UKRI. They are Arts and Humanities Research Council (AHRC); Biotechnology and Biological Sciences Research Council (BBSRC); Economic and Social Research Council (ESRC); Engineering and Physical Sciences Research Council (EPSRC); Medical Research Council (MRC); Natural Environment Research Council (NERC); Science and Technology Facilities Council (STFC).
- Research organisations – institutions to which, one or more UKRI councils have awarded funding to support research and/or research training.
- Research outcomes – a collective term covering the outputs, outcomes and impacts of research activity.
- Elsevier – the company that provides the online 'Researchfish' service used by UKRI to collect and maintain records of outcomes arising from its funded research and training.
- Researchfish - the brand name of the online data collection tool and repository owned and operated by Elsevier.
- Principal investigator (PI) – the person with lead responsibility for the overall management and delivery of a research project or programme funded by a UKRI council.

2. **Information collected via Researchfish**

The Researchfish system presents a common set of non-mandatory questions agreed and used by all funders which use the system. UKRI-funded researchers may also be required to answer additional UKRI-specific questions. The common question set is available from the Researchfish website https://app.researchfish.com/documentation/question-set

The UKRI-specific additional questions are listed on the UKRI website https://www.ukri.org/manage-your-award/reporting-your-projects-outcomes/additional-funder-questions/#contents-list

Generic guidance on responding to the common question set is provided throughout the Researchfish system. UKRI provides additional guidance on the use of the system on the UKRI website https://www.ukri.org/manage-your-award/reporting-your-projects-outcomes/what-you-need-to-report-and-how-to-do-it/#contents-list

It is important that all outcome records submitted by a PI to UKRI Councils via Researchfish are accurate and correctly attributed to the relevant UKRI council grant/award. The Researchfish system has functionality designed to reduce the reporting burden on individual PIs. For example:

- The same outcome record can be attributed to more than one award.
- PIs can nominate 'Team Members' and/or 'Delegates' who may create/attribute records on their behalf.
- Research organisation administrators may 'bulk upload' to Researchfish records of some types of outcomes (for example publications, datasets, films) from their Institution's internal information systems directly to Researchfish, provided each record includes a valid attribution to a UKRI award.
- Routine harvesting from online sources (for example, publication repositories) of information about outputs already attributed to funded awards.

However, it is the responsibility of the award holder (PI) to formally confirm (by submitting them to UKRI using Researchfish) the accuracy and relevance of the outcome records attributed to their awards.

If subsequent corrections need to be made (to the content of a record or its attribution to an award) it is the responsibility of the award holder to make sure these corrections are made including, if necessary, to data harvested from an external source. Particular care should be taken to ensure that submitted data does not include:

- Information that is commercially sensitive or that might otherwise be considered confidential. If necessary, university research support offices or unit administrators should be contacted for guidance.
- Personal data (for example the contact details of colleagues, unnecessary personal details).

The Information Commissioner's Office provides further information on the definition of personal data. https://ico.org.uk/for-organisations/guide-to-data-protection/guide-to-the-general-data-protection-regulation-gdpr/key-definitions/what-is-personal-data/

3. How UKRI will use information submitted via Researchfish

It is a condition of UKRI funding that research outcomes data submitted to UKRI may be published on the UKRI Gateway to Research (GtR) website (https://gtr.ukri.org/), in our interactive research output dashboards and may also be published on other websites such as Europe PubMed Central (see below). This ensures transparency and makes the outcomes of publicly funded research more widely accessible to the research community, business, policy makers and the public.,

The information published about each UKRI-funded research project on the UKRI Gateway to Research may include:

1. researchers' names (PI and any co-investigator(s)) and research organisations
2. the names of project partners (that is, collaborating organisations contributing resources to the project)
3. the project title, abstract and (where available) technical summary, drawn from the original funding application

4. the total value and duration of the award(s)
5. the publications, most other research outcomes, key findings and impact summary as submitted to UKRI through Researchfish.

Anyone may search, download and use UKRI Gateway to Research data in line with the Open Government Licence (Open Government Licence (nationalarchives.gov.uk) except where otherwise stated. A Gateway to Research user guide is available outlining the data coverage, source data, publication rules and data limitations (https://gtr.ukri.org/resources/GtR-User-Guide.docx) as well as a data dictionary (https://gtr.ukri.org/resources/GtRDataDictionary.pdf)

Anyone recording an outcome record in Researchfish (i.e. project leads, their delegates and members of their research teams) should take particular care to ensure that free text elements in the record contain no personal/sensitive data (for example the contact details of colleagues, unnecessary personal details, or commercially sensitive information). UKRI neither requires nor wishes for such information, and project leads are expected to check and ensure it is not present in any of the records they submit to UKRI.

In general, UKRI can see 'live data' (outcomes data attributed to an award but not yet submitted) but doesn't use it in analysis until it is formally submitted.

Exceptionally, outcomes that can be harvested from an authoritative public source and for which the available metadata includes (a) a unique persistent identifier such as a DOI, and (b) acknowledgment of UKRI Council support by quoting a valid UKRI grant reference number, may be added to GtR before its formal submission (outcomes in this category are normally publications).

4.   Sharing links with other repositories

Links between publications and UKRI Council funding will be shared across the Europe PubMed Central (www.europepmc.org/) and Researchfish datasets to reduce duplicate requests to researchers and duplicate reporting.

Information on publications submitted to Researchfish may be copied into Europe PubMed Central; links established in Europe PubMed Central or extracted from publication acknowledgements may be copied into Researchfish.

Similar system developments may be introduced in the future that will link data between Researchfish and other repositories in order to further reduce duplicate requests to researchers and duplicate reporting.

Narrative text submitted to UKRI through Researchfish may be quoted, in full or in part, and attributed to investigators, grants and research organisations. By submitting data to Researchfish you acknowledge that this use, publication and onward dissemination of outcomes may occur.

These principles of use apply only to the way in which UKRI will use and publish data collected via Researchfish. Research outcomes information is also returned to the research organisation(s) holding the UKRI Council award(s) to which those outcomes are attributed. Research organisation local administrators may provide guidance on how the information will be used by their own organisations.

5. Personal data held by Researchfish

All personal data is managed in line with the current UK data protection legislation. The lawful basis of the processing is a public task (that is, Article 93 of the Higher Education Research Act 2017, sections c to h). For further details on how this information will be used please consult the UKRI Privacy Notice that can be found here https://www.ukri.org/privacy-notice/. Any questions around how personal data is used in relation to gathering research outcomes can be sent to: dataprotection@ukri.org

The following information is provided by UKRI to Elsevier:

- PI name
- PI e-mail address
- Research organisation name

This information is sourced from UKRI's research and innovation funding application and management systems, and is provided to Elsevier for the following purposes:

- To enable Elsevier to populate researcher's accounts with their associated award data
- To enable Elsevier to contact award holders (for example, to inform them of the UKRI reporting requirements)
- To enable researchers to attribute outcomes to specific awards
- To enable Elsevier to attribute outcomes to UKRI awards using publicly available metadata
- To enable Elsevier to allow research organisations to review grant and outcomes information, and support the research outcomes collection process
- To enable research organisations to advise UKRI of necessary amendments to data held by Elsevier
- To enable UKRI to refresh their own SQL databases with up-to-date outcomes data
- To enable the use of outcomes data by UKRI (for example. for accountability, advocacy, analysis, allocation, and openness)
- To enable UKRI compliance and sanctions policy for the reporting of outcomes

When submitting funding applications to UKRI, applicants understand that their information may be passed to third parties to support various activities connected to our Public Task. This includes the sharing of information with Researchfish to support the collection of outcomes data. Further information can be found in the system terms and conditions and the Use of Grant Proposal & Training Grant information addendum (https://www.ukri.org/wp-content/uploads/2021/03/UKRI-310321-Use-of-grant-proposal-and-training-grant-information-addendum-V2.pdf).

Researchers can provide Elsevier with an alternative email address that is different from any recorded by their funder(s); Elsevier will not share this alternative email address back to UKRI Therefore, communications from UKRI and Elsevier may be sent to different email addresses. Please note:

- An alternative email address entered into Researchfish by a researcher will not be known to UKRI and will be used by Elsevier only for the purposes of interacting with the Researchfish system.

- Researchers wishing to change the email address used by UKRI to contact them must update their details via Je-S (if for any reason the Je-S system is unavailable the Je-S Helpdesk should be contacted for assistance or +44 (0) 1793 44 4164).

Researchers/research organisations may request the amendment of any other details relating to a UKRI award displayed in Researchfish by contacting researchoutcomes@funding.ukri.org

If the PI of an award is no longer able to make a submission, UKRI may require the research organisation holding the award to nominate an alternative person to maintain and submit the outcome records of that award. In such cases:

- The nominee's details will be held by UKRI and Elsevier, and communications relating to the award and its outcomes will be sent to the nominee instead of the PI.
- The nominee will be able to
    - view all outcomes already attributed to the award
    - dis-attribute an outcome previously attributed to the award (the outcome will remain in the personal portfolio of the Researchfish account holder who created the record)
    - create and attribute new outcomes to the award (note: the nominee be unable to amend outcome records created by other Researchfish account holders
    - edit/delete existing responses, and create new responses, to any 'Additional Funder's Questions' linked to the award by UKRI.

6. Researchfish outcome data

Outcome records entered in Researchfish, but not attributed to any award, are stored in the Personal Portfolio of the Researchfish account holder who created the record and are accessible only to the account holder and any person(s) to whom they have given access to their Researchfish account (whether as a Delegate or as a Research Team Member).

Information about research outcomes can only be accessed by a research funder after it has been attributed to one or more grants awarded by that funder.

Information about research outcomes can only be accessed by a research organisation after it has been attributed to a grant awarded to that research organisation.

Guidance on completing the questions can be found throughout the Researchfish system. As most of the information submitted to UKRI Councils via Researchfish will be published, individuals involved in the work should not be specifically identified in (or be identifiable from) the outcome record unless this information is already in the public domain (such as the names of co-authors listed on publications, or the recipients of research prizes).

7. Information requests

UKRI is a public body subject to the Freedom of Information Act (2000). Requests for information on outcomes and outputs submitted via Researchfish to UKRI and which are not already publicly available (for example, through Gateway to Research) will be handled on a case by case basis and responded to in accordance with the provisions of the Act.

8. Final grant report

To avoid duplication of effort, UKRI Councils no longer require a Final Report for the majority of their awards. However, please note Final Expenditure Statements are still required and separate reporting processes may be in place for some funding mechanisms and specific calls.

9. Acceptance of the Principles of Use

These Principles of Use are published on the UKRI website at https://www.ukri.org/files/legacy/publications/principles-of-use-pdf/ and are made available to researchers prior to submission of outcomes to UKRI Councils via Researchfish. The Principles of Use must be accepted before data can be submitted via Researchfish to UKRI Councils.

10. Contact

Any questions about these Principles, or requests to change any details about UKRI awards displayed in Researchfish should be addressed to researchoutcomes@funding.ukri.org