UKRI research outcomes collection Principles of Use

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 whom 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.

• Interfolio UK – 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 Interfolio UK.

• 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.

All UKRI-funded researchers (for example, principal investigators, unit programme leaders, fellows and students) are required to provide an annual update on the research outcomes that arise from their UKRI funded research. This information is used by UKRI to:

• strengthen the evidence base UKRI has to draw upon for public accountability
• make the case for public investment in research
• inform strategic decision-making
• evaluate progress
• better understand the research system
These principles of use relate specifically to the research outcomes information collected by Interfolio UK on behalf of UKRI; they describe how it is used and subsequently published by UKRI.

1. Information collected via researchfish.

UKRI uses researchfish to collect information on the research outcomes that have arisen from UKRI funded research and training. This includes both quantitative and qualitative information for output types such as publications, further funding, influence on policy and research databases/models.

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](https://app.researchfish.com/documentation/question-set). The UKRI-specific additional questions are listed on the UKRI website [https://www.ukri.org/funding/information-for-award-holders/researchoutcomes/how-we-collect-your-research-outcomes1/](https://www.ukri.org/funding/information-for-award-holders/researchoutcomes/how-we-collect-your-research-outcomes1/)

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/funding/information-foraward-holders/research-outcomes/help-and-guidance/](https://www.ukri.org/funding/information-foraward-holders/research-outcomes/help-and-guidance/)

It is important that all outcome records submitted by a PI or research student 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 / students. 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 who may use interoperability to export e.g. publication records from their Institution’s internal information systems directly to researchfish.
- routine harvesting from online sources (e.g. publication repositories) of information about outputs already attributed to funded awards
However, it is the responsibility of the award holder (PI or Student) to formally submit to UKRI the outcome records attributed to their awards, and to ensure their accuracy and relevance before doing so. 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 take place including, if necessary, to data harvested from external an 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).


2. How UKRI will use information submitted via researchfish.

Research outcomes information submitted to UKRI through researchfish will be used by UKRI to support the objectives outlined in the introduction above. This will include some information being published in the form of analyses, evaluations, case studies (usually to highlight specific areas of research), and narratives to demonstrate trends and key outcomes. A number of these are listed on the UKRI website [https://www.ukri.org/funding/information-for-award-holders/researchoutcomes/what-we-do-with-the-outcomes-information-weve-collected/](https://www.ukri.org/funding/information-for-award-holders/researchoutcomes/what-we-do-with-the-outcomes-information-weve-collected/)

In addition, research outcomes are published on the UKRI Gateway to Research (GtR) website ([https://gtr.ukri.org/](https://gtr.ukri.org/)) 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.

Please remember that the free text elements of researchfish records are also published on the UKRI Gateway to Research website (and may be published through other routes), and that you agree to this when you make a submission. We occasionally notice personal/sensitive data included within these free-text elements (for example the contact details of colleagues, unnecessary personal
details, or commercially sensitive information). We do not require nor wish for such information, please bear this in mind when making your submission and when checking the data provided by others authorised to attribute outcomes to your award.

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. The only exception is publication data, which may be added to GtR before its formal submission providing certain conditions are met (e.g. it has a digital object identifier, (DOI), and acknowledges UKRI Council support quoting a valid grant reference number). The information published about each UKRI-funded research project on the UKRI Gateway to Research includes:

1. researchers’ names (PI and any co-investigator(s), or research student) and research organisations
2. the names of project partners (i.e. 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 v2.0 (www.nationalarchives.gov.uk/doc/opengovernment-licence/version/2/) except where otherwise stated. Further information on the available data, including a data dictionary, is available from https://gtr.ukri.org/resources/data.html

3. 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. Submitting data to researchfish signifies consent to this use, publication and onward dissemination of outcomes.

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.

4. Personal data held by researchfish

The researchfish system holds information about awards which is drawn from the UKRI’s research management systems. This will include a limited amount of personal data, including PI name and email address and the name of the research organisation holding the award (which may be the PI’s employer). This information is managed in line with the principles of the General Data Protection Regulations 2018. UKRI provides information on awards and award holders to Interfolio UK for the following purposes:

- To enable Interfolio UK to populate researcher’s accounts with their associated award data
- To enable Interfolio UK to contact award holders (e.g. to inform them of the UKRI reporting requirements)
- To enable researchers to attribute outcomes to specific awards
- To enable Interfolio UK to attribute outcomes to UKRI awards using publicly available metadata
- To enable student supervisors to support research outcomes entry
- To enable Interfolio UK 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 Interfolio UK
- To enable UKRI to refresh their own SQL databases with up-to-date outcomes data
• To enable the use of outcomes data by UKRI (e.g. for accountability, advocacy, analysis, allocation, and openness)
• To enable UKRI compliance and sanctions policy for the reporting of outcomes

The lawful basis of the processing is a public task (i.e. 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/

Researcher email addresses held by Interfolio UK include the email address provided by each funder, which for UKRI Councils will be drawn from the joint electronic submission system (Je-S) and its successors. In addition, researchers can also record within researchfish an alternative personal email address that is different from any recorded by their funder(s); Interfolio UK do not share this personal email address with any funders.

Communications from UKRI Councils and Interfolio UK may therefore be sent to researchers’ different email addresses, in line with researchers’ stated preferences. Please note:

• An alternative personal email address entered into researchfish by a researcher will not be known to UKRI and will be used 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 (students should contact their research organisation studentship administrator(s) to do this for them) https://je-s.rcuk.ac.uk (if for any reason the Je-S system is unavailable the Je-S Helpdesk should be contacted for assistance JeSHelp@je-s.ukri.org 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

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).
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 Researchfish, 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-attributed 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

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).

By submitting data to UKRI using researchfish researchers explicitly consent to the data, including their personal data, being processed by Interfolio UK as described in these Principles of Use as well as being stored in researchfish and internal UKRI systems.

4. 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 (e.g. through Gateway to Research) will be responded to in accordance with the provisions of the Act.

5. 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.

6. 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.

7. 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