



Doing ESRC Data Better Appendices

A study for the Economic and Social Research Council (ESRC)

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APPENDIX 1: Survey responses: tables showing frequency of responses to each of the statements

Section 2 [Data depositors]

<i>For each of the following statements, please rate your own experience</i>	Strongly disagree	Disagree	Neither agree nor disagree	Agree	Strongly agree	Don't know/ Unsure
I am aware of and use the ESRC Research Data Policy			2	10	4	
ESRC grantholders producing data should be required to deposit their data for others to use		1	1	3	10	1
ESRC conditions on data deposit do not constrain grantholders from undertaking particular types of research		1	2	5	8	
ESRC grantholders producing software code should be required to deposit their software code for others to use			5	3	6	2
Diversity/demographic characteristics of human data subjects should normally be provided in datasets		1	3	7	4	1
I am well informed about data management issues			2	5	9	
Data management plans are a useful tool	1	2	7	6		
There is sufficient guidance on how to deposit data			4	8	4	
There is sufficient guidance for data producers on how to document data (metadata)	1	3	3	6	2	1
Depositors are provided with sufficient funding to cover documentation & deposition costs	2	9	2		2	1
Data depositors are provided with a sufficient period of privileged use.		1	5	4	4	2
Citation practices for data deposited provide sufficient recognition to the depositor		4		7	4	1

Section 2 [Data users]						
<i>For each of the following statements, please rate your own experience</i>	Strongly disagree	Disagree	Neither agree nor disagree	Agree	Strongly agree	Don't know/ Unsure
It is easy to locate relevant datasets		2	7	15	6	2
Adequate metadata for datasets are available		2	16	16	7	1
Datasets are adequately documented		3	4	15	9	1
Diversity/demographic characteristics of human data subjects should normally be provided in datasets	1	1	2	9	18	1
Software code used in producing research data should also be deposited		1	7	13	9	2
Online tools and interfaces for data access and analysis (e.g. Nesstar and Infuse) are useful	1	3	6	11	4	7
Adequate support and guidance is available from ESRC-funded data depositories and providers	1	4	6	12	5	4
Access procedures are appropriate to the sensitivity of the data	4	1	6	12	6	3
Conditions of data use are clear and appropriate	1		2	19	9	1
Comparability of data across datasets is easy to assess	1	8	8	8	2	5
Consistency of data over time and space is important			2	8	20	2
Harmonisation of UK and non-UK datasets is important		3	4	13	9	3

Section 2 [Controlled data users]

<i>For each of the following statements, please rate your own experience</i>	Strongly disagree	Disagree	Neither agree nor disagree	Agree	Strongly agree	Don't know/ Unsure
Controlled data users should be required to undergo special training			1	4	6	
Access to controlled data should continue to be subject to a public benefit test	2		1	3	5	
Public benefit criteria are clearly defined and appropriate	1	3	3	3		1
The provision of synthetic data facilitates use of controlled data			3	5	1	2
Approval processes for accessing controlled data are appropriate	3	2	2	3	1	
Working with controlled data is made as straightforward as possible	2	8		1		
Mechanisms for importing data and/or code are effective		2	4	3	2	
Mechanisms for data linkage are effective	1	2	2	5		1
Procedures for exporting results are appropriate	1	3	4	3		
Trusted research environments effectively prevent disclosure of personal data and ensure confidentiality			4	1	6	
Data providers should provide deidentified versions of controlled datasets for use outside of TREs		1		4	4	2

Section 2 [Data management staff]

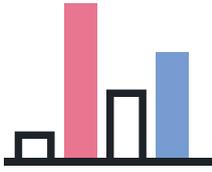
<i>For each of the following statements, please rate your own experience</i>	Strongly disagree	Disagree	Neither agree nor disagree	Agree	Strongly agree	Don't know/ Unsure
ESRC research data policy is easy to interpret and use		3	4	17	2	1
ESRC policy is well integrated with legal and other data management requirements		2	5	15	1	4
ESRC research data management requirements are appropriate				22	2	3
ESRC data deposit and use conditions are clear and appropriate	1	4		17	1	4
Adequate support is available to research data management staff		4	7	8	2	6
Researchers are well informed about data management issues		9	8	8		2
Processes for monitoring and ensuring compliance with ESRC data policy are fit for purpose		6	9	5	1	6
Research data management staff are able to provide adequate guidance to researchers	2	3	3	15	2	2
Adequate funding is available for research data management	1	9	10	2		5

Section 2 [Representatives]

<i>How far does your group or organisation agree or disagree with the following statements</i>	Strongly disagree	Disagree	Neither agree nor disagree	Agree	Strongly agree	Don't know/ Not Applicable
It is easy to locate ESRC research data policy		3	2	6	5	
ESRC research data policy is easy to interpret and use	1	1	1	11	2	
ESRC policy is well integrated with legal and other data management requirements			4	8	3	1
ESRC research data policy should take account of equality, diversity and inclusion issues		1	3	6	6	
Researchers are well informed about research data policy issues	1	6	3	3	1	2
ESRC data deposit and use conditions are clear and appropriate		4	2	7	3	
ESRC grantholders producing data should be required to deposit their data for others to use			1	2	13	
ESRC conditions on data deposit do not constrain grantholders from undertaking particular types of research		1	3	6	4	2
ESRC grantholders producing software code should be required to deposit their software code for others to use			1	8	7	
Depositors are provided with sufficient funding to cover deposition costs		3	6	3	2	2
Adequate support and guidance is available to research data users		3	5	6	2	
Access procedures attached to datasets are usually appropriate			5	6	3	2
ESRC research data management requirements are appropriate		3	1	10	2	
Adequate support is available to research data management staff		7	3	2	2	2
Adequate funding is available for research data management	1	6	3	3	1	2

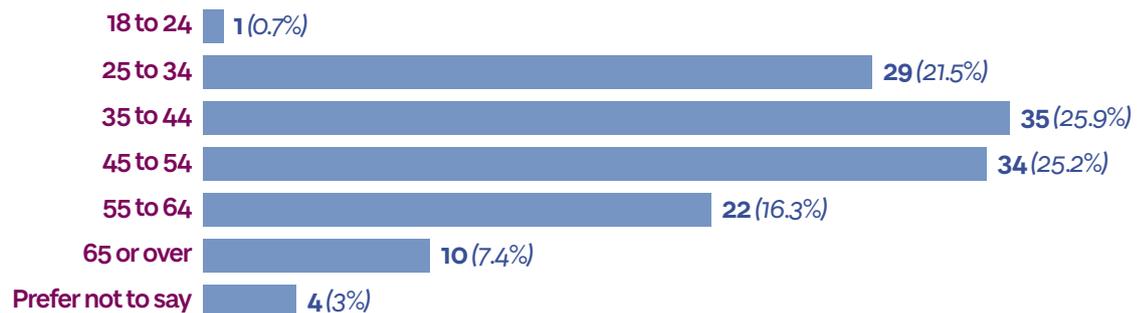
Section 3 [All respondents]

<i>How far do you agree or disagree with the following statements</i>	Strongly disagree	Disagree	Neither agree nor disagree	Agree	Strongly agree	Don't know/ Not Applicable
Knowledge of ESRC research data policy is widespread	13	47	34	25	3	13
The ESRC should consult regularly with the research community on its research data policy		2	12	67	52	3
ESRC research data policy should also address the rights and responsibilities of data users		3	6	62	60	4
Investments to further simplify access to linked administrative data sets should be a priority		4	24	45	52	10
Investment in new and emerging forms of data should be a priority		2	33	54	41	5
Provision of datasets for AI/machine training should be a priority	3	23	43	27	29	10
The aim of the ESRC should be to maximise the use of research data for public benefit		3	12	47	68	5
Users and their needs should drive ESRC research data activities and investments		3	19	64	42	7
The ESRC should provide more training to data users to increase research data usage	1	4	18	54	52	6
The ESRC should provide more training & support to data users to open up access to research data to more people		3	20	52	54	6
The ESRC should play a prominent role in building public trust in research data use		2	14	44	68	7
The ESRC should improve accessibility of its data and related resources		2	25	56	44	8
The ESRC should promote the public benefits of research data use			11	50	66	8

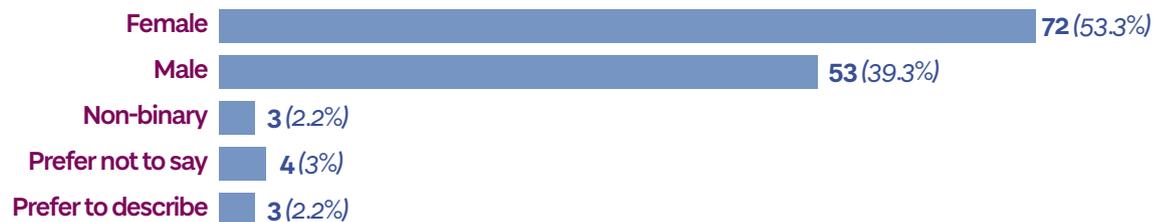


APPENDIX 2: Survey respondent characteristics

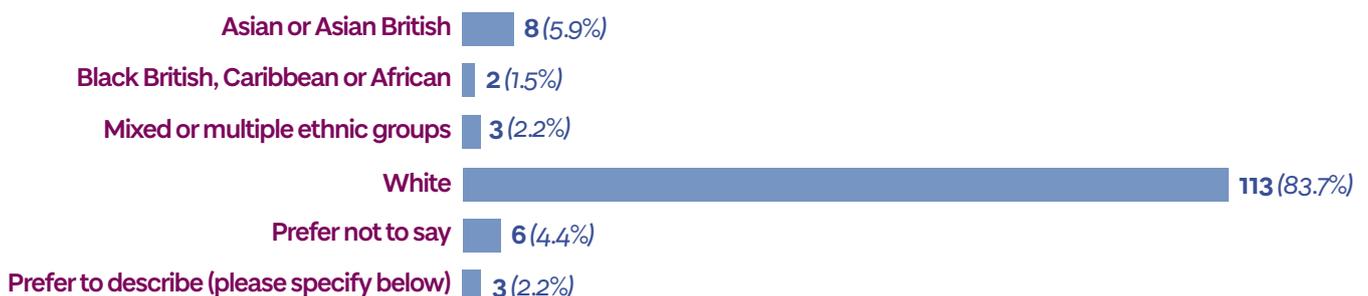
Q30. [All respondents] What is your age group?



Q31. [All respondents] What is your gender identity?



Q32. [All respondents] What is your ethnicity?



Q33. [All respondents] Do you have any long term health condition or disability that affects your ability to carry out your role in relation to research data?



Appendix 3: Survey Questions



Doing ESRC Data Better - A Consultative Survey on the ESRC's Research Data Policy

WELCOME PAGE



The ESRC has commissioned an independent study by a team from the University of Dundee to develop evidence-based recommendations for updating its existing policy with respect to the creation, use and management of research data that it funds.

The ESRC's current research data policy may be found here: [ESRC research data policy – UKRI](#). Further background to the present study may be found here: [Develop evidence-based recommendations for ESRC's data policy – UKRI](#).

This survey constitutes an important part of the study, and is being conducted to gather relevant information from the following parties in particular:

- Researchers with experience creating and depositing data associated with ESRC-funded projects, whether working in a university, public sector, private sector or third sector, or as an independent researcher.
- Researchers with experience of using ESRC-funded data and/or data services (but who have not deposited data), whether working in a university, public sector, private sector or third

sector, or as an independent researcher.

- Individuals who work in research data/information management and supporting research data users, including research data policy and information governance management, data depository management, secure/controlled data environment management, technical infrastructure management
- Groups or organisations with a stake or interest in ESRC-funded research data deposit, use, management or policy.

The survey questionnaire includes different sets of questions relevant to each of the four listed parties. These questions form section 2 of the questionnaire. Section 1 first includes some screening questions to ensure you are guided to the questions most relevant to you.

In addition, all respondents are asked to complete Sections 3 and 4 of the questionnaire. Section 3 asks policy-related questions while Section 4 includes questions to fulfil equality, diversity and inclusion monitoring and reporting requirements.

We would be very grateful if you could complete the survey by 24th November 2023

PARTICIPANT INFORMATION SHEET

Project title: Doing ESRC Data Better - A Consultative Survey On The ESRC's Research Data Policy

Principal Investigator: Professor Angela Daly

Project team: Professor Paul Allanson, Awais Elahi, Dr Alistair Geddes, Maeve Malone, Professor Niamh Nic Daeid, Lucille Tetley-Brown

Invitation:

You are being asked to take part in a research study. Before you decide if you would like to take part, it is important you understand why the research is being done and what it involves. Please take your time to read the following information carefully and feel free to ask any questions. If you agree to take part in the study, you will be asked to sign a consent form. Thank you for your time.

Purpose of the research:

The survey is part of an ESRC-funded study being undertaken to make recommendations to the ESRC on updating their current research data policy. This survey is designed to collect stakeholders' experiences of and views on depositing, using or managing ESRC-funded data and how ESRC research data policy might be updated.

Procedures:

Participation will involve you answering a series of questions on your experience of and views on depositing, using or managing ESRC-funded data and how ESRC research data policy might be updated.

Participation:

It is up to you to decide if you would like to take part. Your participation is voluntary and you are free to withdraw from the study at any time up until the online survey is submitted. It will not be possible to link you personally with the information submitted as no identifiable information will be collected. You must also be in the UK to be a participant in the study, and this must be confirmed as part of the informed consent process. Participation in this study will take about 30 minutes. If you choose to leave the survey part way through, you will be given the opportunity to return later. Participation in this survey will not have any impact on your interaction with the ESRC including as regards applying for funding now and in the future.

Confidentiality:

Your responses will be held securely in compliance with data protection laws. They will remain confidential to members of the research team. Data derived from survey responses will be safeguarded to ensure anonymity of all respondents. Only aggregated data or anonymised quotes will be published in project reporting and any other publications.

You must be aged 18 years or more to complete this survey and in the UK at the time of participation.

You may withdraw from the study at any time, without giving reasons, before submitting it. After submitting the survey, it will not be possible to withdraw from it.

At the end of the study, data will be deposited securely with the UK Data Service. Anonymised data from the project may be reused by other researchers once it has been deposited with the UK Data Service.

Further information:

The survey has been approved by the University of Dundee School of Science and Engineering Research Ethics Committee.

If you have any questions about the nature of this survey, please contact the research team:
ESRCDataProject@dundee.ac.uk.

Questions about your rights as a respondent may also be directed to the University of Dundee School of Science and Engineering Research Ethics Committee Chair, Dr Catriona Davies:
cmdavies@dundee.ac.uk

ACCESSIBILITY STATEMENT

You can customise the text size/colour to meet your individual needs by using the accessibility features of your web browser. Further information on how to do this is available from the AbilityNet website: <https://mcmw.abilitynet.org.uk/>

If you require this survey in an alternative format please contact the research team at ESRCDataProject@dundee.ac.uk.

We can provide a copy of the JISC Survey / Participant Information Sheet and Consent Form in alternative formats (e.g. large print, Braille). Advice on alternative formats can be obtained from [Disability Services](#) (email: altformats@dundee.ac.uk).

INFORMED CONSENT

Please confirm the following:

- The research project and procedures have been explained to me.
- I understand that my participation is voluntary.
- I understand that I will not receive any incentives or compensation for my participation in this survey.
- I understand that I do not have to complete the survey, but that once I have submitted it, it will not be possible to withdraw.
- I understand that the data collected from my answers to this survey are anonymous and no one will be able to link the data I provide to my identity.
- I confirm that I have not been subject to any form of pressure to participate in this study, and I will inform either the researcher or the ethics chair should this change.
- I understand that the anonymous data collected here may be used in future research and/or publications and made available to other researchers.
- I understand that I must be within the United Kingdom and over the age of 18 at the time of participation to be a participant in this survey.
- I consent to being a participant in the project.
- If you are providing responses on behalf of a group: You take responsibility for representing the views and opinions of the group.

Declaration of Consent: Please indicate that you have read and understood the Participant Information Sheet and that you wish to participate in this research study.

Do you consent and wish to proceed to the survey? * *Required*

SECTION 1 – Role and relation to research data

Please check one option below to indicate [in what capacity](#) you are completing the questionnaire.

* *Required*

- As an individual and/or on my own behalf
- On behalf of a group/organisation

What kind of organisation or institution do you currently work in, or most recently worked in? Please select all below that apply: * *Required*

- University/Higher Education Institute
- Government department/public sector
- Commercial/private sector
- Funding body
- Non-university third sector
- Other

If you selected Other, please specify: *Optional*

Please choose from the list below one option that best describes your current career stage: * *Required*

- Taught postgraduate
- Research postgraduate, PhD, Postdoc
- Early career
- Mid career
- Senior level
- Currently not working or retired
- Other

If you selected Other, please specify: *Optional*

Now please choose one option from below that best describes your own situation. * *Required*

If you selected Other, please specify: *Optional*

What is your discipline in the social sciences? Please choose from the following [ESRC designated](#) disciplines all options that apply to you: * *Required*

- Area and development studies
- Demography
- Economics
- Economic and social history
- Education
- Environmental planning
- Human geography
- Linguistics
- Management and business studies
- Politics and international studies
- Psychology
- Science and technology studies
- Social anthropology
- Social policy
- Social work
- Social statistics, methods, and computing
- Socio legal studies
- Sociology
- Other

If you selected Other, please specify: *Optional*

How many ESRC grants have you been awarded (individually, as a Principal Investigator or Co-Investigator)? * *Required*

- 0
- 1-2
- 3-4
- More than 4

Have you ever deposited research data as a condition of an ESRC-funded grant? * *Required*

Yes

No

How many datasets have you deposited as a condition of the ESRC grants you have been awarded? * *Required*

- 0
- 1-5
- 6-10
- More than 10

Have you ever accessed a research dataset for your own research? * *Required*

Yes

No

Please indicate all providers from which you have obtained data: * *Required*

- UK Data Archive (UKDA)
- UK Data Service (UKDS) ReShare repository
- Other ESRC-funded Data Services (e.g. Administrative Data Research UK, Consumer Data Research Centre, Health Data Research UK, Urban Big Data Centre, Hate Lab)
- Don't know/unsure
- Other

If you selected Other, please specify: *Optional*

How many research datasets have you accessed from ESRC-funded depositories and/or providers? * *Required*

- 0
- 1-5
- 6-10
- More than 10

SECTION 2 – for ESRC grant-holder & data creator-depositors

Where did you deposit data from an ESRC-funded grant? From below, please tick all that apply:

* *Required*

- UK Data Service Curated data repository
- UK Data Service Self-deposit in ReShare
- Institutional repository
- Don't know/unsure
- Other

If you selected Other, please specify: *Optional*

Please select all below that best describe the broad nature of the datasets you have deposited:

* *Required*

- Qualitative
- Quantitative
- Synthetic
- Artificial Intelligence including training data and machine learning models
- Syntax (code or scripts)
- Other

If you selected Other, please specify: *Optional*

We would be grateful if you could use the next space to provide a brief description about the type(s) of data deposited. *Optional*

Please select all below that describe the designated access level for the data you have deposited: * *Required*

[+ More info](#)

- Open
- Safeguarded
- Controlled / Secure
- Don't know / unsure

Based on your experience of depositing data as a condition of an ESRC-funded grant, how far do you agree or disagree with all the following statements? * *Required*

Please don't select more than 1 answer(s) per row.

Please select at least 12 answer(s).

	Strongly disagree	Disagree	Neither agree nor disagree	Agree	Strongly agree	Don't know / Unsure
I am aware of and use the ESRC Research Data Policy	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
ESRC grantholders producing data should be required to deposit their data for others to use	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
ESRC conditions on data deposit do not constrain grantholders from undertaking particular types of research	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
ESRC grantholders producing software code should be required to deposit their software code for others to use	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Diversity/demographic characteristics of human data subjects should normally be provided in datasets	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
I am well informed about data management issues	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Data management plans are a useful tool	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
There is sufficient guidance on how to deposit data	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

There is sufficient guidance for data producers on how to document data (metadata)	<input type="checkbox"/>					
Depositors are provided with sufficient funding to cover documentation & deposition costs	<input type="checkbox"/>					
Data depositors are provided with a sufficient period of privileged use.	<input type="checkbox"/>					
Citation practices for data deposited provide sufficient recognition to the depositor	<input type="checkbox"/>					

Please use this space to add comments on any of your answers to the preceding questions.

In your view, is there anything else the ESRC should consider to improve the depositor experience? *Optional*

SECTION 2 – for ESRC research data users

Which of the following best describe the broad nature of datasets from ESRC data services and depositories you have used? Please tick all that apply: * *Required*

- Qualitative
- Quantitative
- Synthetic
- Artificial Intelligence including training data and machine learning models
- Syntax (code or scripts)
- Other

If you selected Other, please specify: *Optional*

We would be grateful if you could use the next space to provide a brief description of the type(s) of data used. *Optional*

Please tick from the following all that describe the designated access level for the ESRC-support research data you have used: * *Required*

[+ More info](#)

- Open
- Safeguarded (or equivalent)
- Controlled / Secure
- Don't know / unsure

Based on your experience of using datasets from ESRC data services and depositories, how far do you agree or disagree with all the following statements? * Required

Please don't select more than 1 answer(s) per row.

Please select at least 12 answer(s).

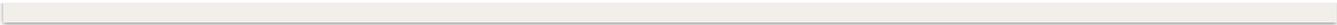
	Strongly disagree	Disagree	Neither agree nor disagree	Agree	Strongly agree	Don't know / Unsure
It is easy to locate relevant datasets	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Adequate metadata for datasets are available	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Datasets are adequately documented	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Diversity/demographic characteristics of human data subjects should normally be provided in datasets	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Software code used in producing research data should also be deposited	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Online tools and interfaces for data access and analysis (e.g. Nesstar and Infuse) are useful	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Adequate support and guidance is available from ESRC-funded data depositories and providers	<input type="checkbox"/>					
Access procedures are appropriate to the sensitivity of the data	<input type="checkbox"/>					
Conditions of data use are clear and appropriate	<input type="checkbox"/>					
Comparability of data across datasets is easy to assess	<input type="checkbox"/>					
Consistency of data over time and/or space is important	<input type="checkbox"/>					
Harmonisation of UK and non-UK datasets is important	<input type="checkbox"/>					

Please use this space to add comments on any of your answers to the preceding questions.

Have you ever worked with controlled data in a trusted research environment? (E.g. Data Safe Haven, Secure Data Environments, SafePod, or an approved device) * *Required*

Yes
 No
 Prefer not to say



Based on your experience of using controlled data in a trusted research environment, how far do you agree or disagree with all the following statements? * Required

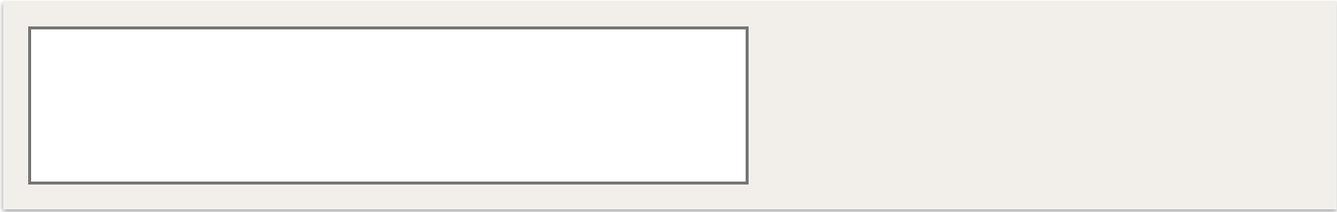
Please don't select more than 1 answer(s) per row.

Please select at least 11 answer(s).

	Strongly disagree	Disagree	Neither agree nor disagree	Agree	Strongly agree	Don't know / Not applicable
Controlled data users should be required to undergo special training	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Access to controlled data should continue to be subject to a public benefit test	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Public benefit criteria are clearly defined and appropriate	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
The provision of synthetic data facilitates use of controlled data	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Approval processes for accessing controlled data are appropriate	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Working with controlled data is made as straightforward as possible	<input type="checkbox"/>					
Mechanisms for importing data and/or code are effective	<input type="checkbox"/>					
Mechanisms for data linkage are effective	<input type="checkbox"/>					
Procedures for exporting results are appropriate	<input type="checkbox"/>					
Trusted research environments effectively prevent disclosure of personal data and ensure confidentiality	<input type="checkbox"/>					
Data providers should provide deidentified versions of controlled datasets for use outside of TREs	<input type="checkbox"/>					

Please use this space to add comments on any of your answers to the preceding questions.



In your view, is there anything else the ESRC should consider to improve the experience of research data users? *Optional*

SECTION 2 – for research data management and support staff

From below, please choose all the options that best describe your current role with regard to research data management: * *Required*

- Research support
- Research data depository manager
- Research data policy and/or information governance management
- Secure/controlled data environment support/management
- Technical infrastructure management
- Other

If you selected Other, please specify: *Optional*

Based on your experience of data management, how far do you agree or disagree with all the following statements? * *Required*

Please don't select more than 1 answer(s) per row.

Please select at least 9 answer(s).

	Strongly disagree	Disagree	Neither agree nor disagree	Agree	Strongly agree	Don't know / Not applicable
ESRC research data policy is easy to interpret and use	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

ESRC policy is well integrated with legal and other data management requirements	<input type="checkbox"/>					
ESRC research data management requirements are appropriate	<input type="checkbox"/>					
ESRC data deposit and use conditions are clear and appropriate	<input type="checkbox"/>					
Adequate support is available to research data management staff	<input type="checkbox"/>					
Researchers are well informed about data management issues	<input type="checkbox"/>					
Processes for monitoring and ensuring compliance with ESRC data policy are fit for purpose	<input type="checkbox"/>					

Research data management staff are able to provide adequate guidance to researchers	<input type="checkbox"/>					
Adequate funding is available for research data management	<input type="checkbox"/>					

Please use this space to add comments on any of your answers to the preceding questions.

In your view, is there anything else the ESRC should consider to improve research data management? *Optional*

SECTION 2 – for respondents on behalf of a group/organisation

From the list below, please choose one or more options which best describe the type of group or organisation you are submitting on behalf of: * *Required*

- Academic research group/network/society
- Funding agency/body
- Private/commercial sector
- Government (central or local)
- Third sector/non-government organisation
- Other

If you selected Other, please specify: *Optional*

How far does your group or organisation agree or disagree with the following statements (space is provided at the end of the section should you wish to expand on your responses): * *Required*

Please don't select more than 1 answer(s) per row.

Please select at least 15 answer(s).

	Strongly disagree	Disagree	Neither agree nor disagree	Agree	Strongly agree	Don't know / Not applicable
It is easy to locate ESRC research data policy	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

ESRC research data policy is easy to interpret and use	<input type="checkbox"/>					
ESRC policy is well integrated with legal and other data management requirements	<input type="checkbox"/>					
ESRC research data policy should take account of equality, diversity and inclusion issues	<input type="checkbox"/>					
Researchers are well informed about research data policy issues	<input type="checkbox"/>					
ESRC data deposit and use conditions are clear and appropriate	<input type="checkbox"/>					
ESRC grantholders producing data should be required to deposit their data for others to use	<input type="checkbox"/>					

ESRC conditions on data deposit do not constrain grantholders from undertaking particular types of research	<input type="checkbox"/>					
ESRC grantholders producing software code should be required to deposit their software code for others to use	<input type="checkbox"/>					
Depositors are provided with sufficient funding to cover deposition costs	<input type="checkbox"/>					
Adequate support and guidance is available to research data users	<input type="checkbox"/>					
Access conditions attached to datasets are usually appropriate	<input type="checkbox"/>					

ESRC research data management requirements are appropriate	<input type="checkbox"/>					
Adequate support is available to research data management staff	<input type="checkbox"/>					
Adequate funding is available for research data management	<input type="checkbox"/>					

Please use this space to add comments on any of your answers to the preceding questions.

In your view, is there anything else the ESRC should consider to improve the deposit, management and use of research data? *Optional*

SECTION 3 - Questions for all parties

The following questions relate more broadly to ESRC research data policy, which currently sets out to "define the roles and responsibilities of ESRC grant holders, ESRC, and its data service providers for research data" [ESRC research data policy – UKRI](#)

Please complete all questions in this section. If you are submitting responses on behalf of a wider group or organisation then please give responses that you think best reflects the group as a whole.

How far do you agree or disagree with the following statements? * *Required*

Please don't select more than 1 answer(s) per row.

Please select at least 13 answer(s).

	Strongly disagree	Disagree	Neither agree nor disagree	Agree	Strongly agree	Don't know / Not applicable
Knowledge of ESRC research data policy is widespread	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
The ESRC should consult regularly with the research community on its research data policy & its implementation	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

ESRC research data policy should also address the rights and responsibilities of data users	<input type="checkbox"/>					
Investments to further simplify access to linked administrative data sets should be a priority	<input type="checkbox"/>					
Investment in new and emerging forms of data should be a priority	<input type="checkbox"/>					
Provision of datasets for AI/machine learning training should be a priority	<input type="checkbox"/>					
The aim of the ESRC should be to maximise the use of research data for public benefit	<input type="checkbox"/>					

Users and their needs should drive ESRC research data activities and investments	<input type="checkbox"/>					
The ESRC should provide more training to data users to increase research data usage	<input type="checkbox"/>					
The ESRC should provide more training & support to data users to open up access to research data to more people	<input type="checkbox"/>					
The ESRC should play a prominent role in building public trust in research data use	<input type="checkbox"/>					
The ESRC should improve accessibility of its data and related resources	<input type="checkbox"/>					

The ESRC should promote the public benefits of research data use	<input type="checkbox"/>					
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Please use this space to add comments on any of your answers to the preceding questions.

<input type="text"/>	
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In your view, are there any other issues or recommendations you would like to add regarding the purpose, format or implementation of ESRC research data policy? *Optional*

<input type="text"/>	
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SECTION 4 – Equality, Diversity and Inclusion

Please give details of your own characteristics even if completing a survey return on behalf of a wider group or organisation.

What is your age group? * *Required*

- 18 to 24
- 25 to 34
- 35 to 44
- 45 to 54
- 55 to 64
- 65 or over
- Prefer not to say

What is your gender identity? * *Required*

- Female
- Male
- Non-binary
- Prefer not to say
- Prefer to describe (please specify below)

If you selected "prefer to describe", you can use this space to specify. *Optional*

What is your ethnicity? * *Required*

- Asian or Asian British
- Black, Black British, Caribbean or African
- Mixed or multiple ethnic groups
- White
- Prefer not to say
- Prefer to describe (please specify below)

If you selected "prefer to describe", you can use this space to specify. *Optional*

Do you have any long term health condition or disability that affects your ability to carry out your role in relation to research data? * *Required*

- None
- Moderate
- Significant
- Prefer not to say

END OF SURVEY QUESTIONS

If you would be willing for us to contact you again, for example for a more detailed interview or to take part in a focus group, please provide a contact email address or phone number. *Optional*

You are now at the end of the survey. Please note that once you have pressed the finish button, you will not be able to review or change your answers.

THANK YOU FOR COMPLETING THE SURVEY



Your responses are valued. For further information about this study, please contact the research team at ESRCDataProject@dundee.ac.uk

Key for selection options

1 - Do you consent and wish to proceed to the survey?

I consent (proceed to survey)

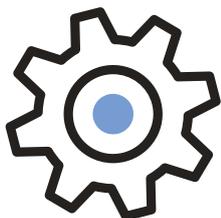
I do not consent (exit without starting survey)

5 - Now please choose one option from below that best describes your own situation.

Researcher

Research data management and support staff

Other



APPENDIX 4: Focus group guiding questions and topic guides

Focus Group Protocol

Aim of Focus Group Study

The aim is to explore awareness of the ESRC research data policy and hear respondent views on the usefulness and/or limitations of the policy as a means of facilitating data sharing. Discussion will cover relevant broader issues around sharing of social science research data including but beyond the ESRC research data policy. From the focus groups, the research team seeks insights on ways that the current policy succeeds or falls short at facilitating greater data sharing, use and re-use, in the context of changing data landscape and associated data products and adjacent outputs. The purpose is gathering qualitative data from the respondents' discussions and interactions: the research team intends to enrich the primarily quantitative data responses received from the survey.

Design

Moderated discussion, addressing four themes, intending to retain focus on the single stated theme for each group, but with scope to address other relevant topics. Focus groups will be semi-structured, drawing on sets of questions specifically prepared for each group along with broad themes which cut across all groups.

Topics

- 1 Data management: Thursday 23 November 2023 1.30-3pm
- 2 Sharing data: Thursday 30 November 2023 11-12.30pm
- 3 Open social science, replicability and reproducibility: Thursday 30 November 2023 3.30-5pm
- 4 Data as a public good: Tuesday 5 2023 December 3.30-5pm

Sample/Respondents

UK-based attendees from various key groups, covering:

- Researchers, both data depositors and data users
- ESRC grant-holders (past, present, potential future)
- Research data managers and support staff
- Representatives from interested groups / organisations
- Other people with a strong interest in social science research data

Each group to have 5-7 participants (minimum 3 attendees to go ahead; targeting a maximum of 10 attendees).

Research Team on the day

- Researcher/Moderator: Lucille Tetley-Brown
- Note-taker, and back-up Researcher/Moderator: Angela Daly
- Assistant: Awais Elahi

Focus Group 1 Data management

- 1 What first comes to mind when I say “data management”?
- 2 What types of data do you work with – and what is the nature of that data work?
- 3 In your view, what is the role for the ESRC in relation to data management?
- 4
 - a. What is your experience of data management plans?
 - b. To your mind, have expectations of data management planning changed over the past 5 – 10 years?
- 5 As you see it, have there been changes in the ways that data is talked about and is managed within your organisation?
- 6
 - a. What is your experience with the 2016 ‘FAIR Guiding Principles for scientific data management and stewardship’, as guidelines seeking to improve the Findability, Accessibility, Interoperability, and Reuse of digital assets?
 - b. What about ‘TRUST’ principles for digital repositories? *[a set of guiding principles to demonstrate digital repository trustworthiness. Transparency, Responsibility, User focus, Sustainability and Technology: the TRUST Principles provide a common framework to facilitate discussion and implementation of best practice in digital preservation by all stakeholders.]*
 - c. What about ‘CARE’ for Indigenous Data Governance? *(Existing principles within the open data movement (e.g. FAIR: findable, accessible, interoperable, reusable) primarily focus on characteristics of data that will facilitate increased data sharing among entities while ignoring power differentials and historical contexts. The CARE Principles reflect the crucial role of data in advancing Indigenous innovation and self-determination. **C**ollective Benefit – **A**uthority to Control – **R**esponsibility – **E**thics)*
- 7 If you are familiar with the ESRC research data policy itself, what comments would you share on the ways it addresses ‘data management’, including where it supports and if it limits the effective management of data?
- 8 On the matter of reforming the ESRC research data policy, what are your thoughts on the current format? Do you have any suggestions on how it should be reformed?
- 9 What are your views and thoughts about how to best govern research data in the UK?
- 10
 - a. What are your impressions of the respective roles and responsibilities of the stakeholders involved in research data management?
 - b. What would be the best role for ESRC? What role should a host organisation take (such as where a researcher/project team are based)?
 - c. Have you any other thoughts about the wider data ecosystem as related to data management issues and opportunities?

Focus Group 2 Sharing data

- 1 What first comes to mind when I say 'data sharing' (or 'sharing data')?
- 2 What types of data do you work with - and what is the nature of that data work?
- 3 In your view, what is the role for the ESRC in relation to 'data sharing'?
- 4 In support of open research practices and facilitation of worldwide collaboration, what are your views about dedicated (ESRC?) investment to allow people to transition from commercial statistical analysis packages to in-demand open-source alternatives? In your view, where ought that support/training come from? (Host institutions, ESRC, some other entity?)
- 5 What do you observe as the main expectations around data sharing, and from where (what people or entities etc) do these come?
 - a. What makes it easier to achieve data sharing expectations?
 - b. What makes it harder?
- 6 As you see it, have there been changes in the ways that data is talked about and is managed within your organisation?
- 7 In your experience, what data sharing issues and opportunities arise from other 'new forms' and sources of data, or data related outputs/'research commodities'?
 - a. What about code, software, models, methodologies?
 - b. Any thoughts on synthetic data as a means of sharing otherwise restricted data?
- 8 What differences and any similarities do you observe in data sharing across varied types of data (as regards access levels and openness)? What about across different forms and sources of data?
- 9 Have you ever come across the concept of 'Data Journals'? *[For citation of datasets that contribute towards a researcher's academic profile and H-index]*
- 10 What are your thoughts about data citation, as current practices, opportunities and/or challenges?
- 11 Do you have an ORCID? *[For those who publish research and/or data]*
- 12 Do you have DOIs (persistent identifiers) for the data you work with?
- 13 If you are familiar with the ESRC research data policy itself, what comments would you share on the ways it addresses 'data sharing', including where it supports and if it limits the effective sharing of data?
- 14 On the matter of reforming the ESRC research data policy, what are your thoughts on the current format? Do you have any suggestions on how it should be reformed?

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- 15** For (if there are) those familiar with ESRC data policy do you view this as a data sharing policy, or as a policy for informing ESRC researchers' data and related activities more broadly (such as management, and appropriate handling in line with legal and ethical parameters)?
- 16** As regards other data outputs (such as code, syntax, models), new methodologies with data and synthetic data, what are your thoughts about the implications of these within current sharing expectations, for onwards use/re-use in future research?
- Any thoughts about how to verify data quality (by objective attributes such as completeness, veracity, clear metadata; or subjective, such as methodological 'fit' to future tasks) as regards sharing?
- 17** What are your views and thoughts about how to best govern research data to support aims of data sharing in the UK?
- 18** What are your impressions of the respective roles and responsibilities of the stakeholders involved in research data sharing?
- What would be the best role for ESRC? What role should a host organisation take (such as where a researcher/project team are based)?
- Have you any other thoughts about the wider data ecosystem as related to data sharing issues and opportunities?
- 19** What are your thoughts on 'sharing data' as a motivation and intention as opposed to 'data sharing' as a mandated act and requirement of good social science research (for integrity etc)? Is there a meaningful/significant difference?
- 20** In your view is there a distinction between depositing data for integrity and the expectation that data is 'open'/made available for re-use?

Focus Group 3

Open social science, replicability, and reproducibility

- 1 In relation to social science research data, what first comes to mind when I say 'replicability' and 'reproducibility'?
- 2 What types and sources of data do you work with – and what is the nature of that data work?
- 3 It is often said that research data should be “as open as possible, as closed as necessary” – what does that expression mean to you? What parameters apply to openness? What about closedness?
- 4 In your view, who are the primary actors or stakeholders in relation to open social science goals?
- 5 From your perspective, is there a holistic approach to promoting and advancing the goal of openness in social science research across the UK? What experiences of collaboration in open social science have you had? What experiences of replicability and/or reproducibility have you had? Does your organisation have an official position in open social science research as a goal?
- 6 It is said that collaboration is a key feature of good research and is a core aim of open science. What are your experiences of open social science research data in relation to collaboration?
 - a. What characterises collaboration and open research data in the UK broadly?
 - b. Globally? And is the UK well positioned in that regard? Why/why not?
- 7 What are your thoughts about the various roles and responsibilities in relation to replicability and reproducibility in social science research? Are these supported (or not) in current arrangements? What is working? What could be done better?
- 8 Do you observe any burden and undue bureaucracy in relation to open social science research and associated data? In what ways do you think that the bureaucratic elements work/are needed, and in what ways may there be new approaches? Have you any ideas for these?
- 9 What are your observations, if any, on positive trends in academia for open social science? Anything negative that may be holding back progress in this area (e.g., role of journals, less profile to robust data as an output than a novel finding, and inadequate data citation tendencies)?
- 10 What are examples of positive behaviours and contributions to a flourishing research culture and environment for open social science data?
 - a. What ought to be prioritised? Or, how are the most pressing needs for a strong research culture determined?
 - b. In your view, how might positive behaviours be recognised and rewarded?
- 11 In your view, what is the role for the ESRC in relation to 'open social science, replicability, and reproducibility'?
- 12 What does integrity in relation to data in social science research look like to you? How do topics related to replicability and reproducibility contribute to integrity?

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- 13** What do you observe as the main expectations around open social science, and from where (what people or entities) do these come?
 - a.** What makes it easier to achieve open science expectations, including replicability and reproducibility?
 - b.** What makes it harder?
 - 14** As you see it, have there been changes in the ways that data is talked about and is managed within your organisation?
 - 15** In a recent UK Parliament Committee discussion, it was recognised that the specific issue of reproducibility in research appears to have received less direct attention – would you agree or disagree with that stance? Have you any other thoughts to add?
 - 16** What differences and any similarities do you observe in data sharing across varied types of data (as regards access levels and openness)? What about across different forms and sources of data?
 - 17** If you are familiar with the ESRC research data policy itself, what comments would you share on the ways it addresses ‘data sharing’, including where it supports and if it limits the effective sharing of data?
 - 18** On the matter the ESRC research data policy, what are your thoughts on the current format? Do you have any suggestions on how it might be refreshed?
 - 19** What are your views and thoughts about how to best govern research data to support aims of data sharing in the UK?
 - 20** What are your impressions of the respective roles and responsibilities of the stakeholders involved in open social science research?
 - a.** What would be the best role for ESRC? What role should a host organisation take (such as where a researcher/project team are based)?
 - b.** Have you any other thoughts about the wider data ecosystem as related to open social science issues and opportunities?
 - 21** What do you see as the linkage between data management, data sharing and open social science?
 - 22** If you have engaged with the Research Excellence Framework (REF), would you like to make any comment about this in relation to open social science data? In your view, does REF incentivise it? Should/could it? What role is there for data policies such as the ESRC data policy related to REF?

Focus Group 4 Data as a public good

- 1 What, in your view, is 'data as a public good'?
- 2 What types and sources of data do you work with – and what is the nature of that data work?
- 3 What significance does funding source bring to social science research and its associated data outputs or uses?
- 4 What about onward costs for data as a public good? *[related to preservation, archiving, brokering access, evaluating if usage was as sanctioned etc]*
- 5 If you or your colleagues have accessed restricted data in a TRE, what was your experience of the criteria for public benefit? *[seeking to determine processes and testing in relation to the 'public benefit/good/interest' aspect for data of certain categories]*
- 6 Where do you/might one seek guidance on the 'public good' component of social science data's availability for use, and subsequent use?
- 7
 - a. How might social science data be best supported as a public good?
 - b. Are there any practices that, to your mind, are working well in supporting social science data as a public good?
 - c. What about ways that social science data is unsupported or limited as a public good?
- 8 From your perspective, is there adequate scope to enact practices that follow from the principles of data work in service to the public good?
- 9 In what ways do you observe different sectors interacting on the matter of social science data as a public good?
- 10 Do you observe any burden and undue bureaucracy in relation to goals of open science and data as a public good therein? In what ways do you think that the bureaucratic elements work/are needed, and in what ways may there be new approaches? Have you any ideas for these?
- 11 What do you observe as the main expectations around social science data as a public good, and from where (what people or entities etc) do these come?
 - a. What makes it easier to achieve/meet expectations?
 - b. What makes it harder?
- 12 As you see it, have there been changes in the ways that social science data is talked about and is managed within your organisation?

- 13 What differences and any similarities do you observe in data sharing across varied types of data (as regards access levels and openness)? What about across different forms and sources of data? How does this fit into (social science) data viewed as a public good?
- 14 If you are familiar with the ESRC research data policy itself, what comments would you share on the ways it addresses 'data sharing', including where it supports and if it limits data as a public good?
- 15 On the matter of reforming the ESRC research data policy, what are your thoughts on the current format? Do you have any suggestions on how it might be altered?
- 16 What are your views and thoughts about how to best govern social science research data to support aims of data sharing in the UK? How does this fit into data viewed as a public good?
- 17 What presentation of the ESRC data policy might best support a perspective of 'data as a public good' in relation to other applicable policies?
- 18 What are your thoughts about the various roles and responsibilities around data as a public good, in relation to social science research? How do these break-down into classifications of (a) preparation to use data for the broader public good and (b) actual activities/usage for the public good? What about follow-up and evaluation/after-the-fact scrutiny in the achievement of public good?
- 19 What might be the best role for the ESRC in relation to data as a public good?
- 20 In your view, who are the primary actors or stakeholders in relation to data as a public good, as related to social science research?
- 21 What are your impressions of the respective roles and responsibilities of the stakeholders involved in social science research data?
 - a. What would be the best role for ESRC? What role should a host organisation take (such as where a researcher/project team are based)?
 - b. Have you any other thoughts about the wider data ecosystem as related to issues and opportunities around data as a public good?
- 22 What do you see as a linkage, if any, between data management, data sharing, open social science and data as a public good?

Broad topics for all Focus Groups

- Governance
- Security
- Integrity
- Roles including Responsibilities & Rights
- Technology
- Infrastructure inc. Repositories & Persistent Identifiers
- Purpose/s (of data sharing)
- Digital products (beyond data, or building from data)
- Research Culture
- Data Culture
- Benefits and opportunities
- Costs (financial and time burden)
- (Dis)incentives
- Data Lifecycle
- Data Ecosystem (stewards, intermediaries, data 'owner/s' etc)