
Research Activity Survey 2006/07

10 November 2006 Ref: W06/48HE

To: Heads of higher education institutions in
Wales

Summary: This circular requires institutions to provide
information for use in the calculation of funds
for research for 2007/08

Response by: 9 January 2007

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INTRODUCTION

- 1 This Circular requests higher education institutions (HEIs) to provide information for use in the calculation of funds for research for 2007/08.

SURVEY DATA

- 2 Information is requested on:
 - the full-time equivalent (FTE) numbers of research assistants;
 - the FTE numbers of research fellows;
 - the numbers of full-time research students;
 - the numbers and FTE numbers of part-time research students;
 - external income from UK based charities.
- 3 Quality Research (QR) allocations will be calculated using the information returned on this survey and on the 2005/06 Research Activity Survey (RAS), in conjunction with the FTE number of research active academic staff and the research ratings from the 2001 Research Assessment Exercise (RAE). Research active academic staff are in general the proportion of Category A and incoming Category A* staff paid from general funds returned on form RA1/2 of the 2001 RAE.
- 4 The funding associated with the minor volume measures will be calculated on the basis of a two year rolling average of the figures reported.

CHANGES FOR 2006/07

- 5 No changes have been made to the survey since the 2005/06 RAS.

CONTENTS

- 6 A series of annexes is included with this document to assist institutions in the completion of this survey. These annexes are:

Annex A: Notes of Guidance
Annex B: Research Assistants
Annex C: Research Fellows
Annex D: Research Students
Annex E: External Research Income from UK Based Charities
Annex F: Workbook Notes
Annex G: Printed Tables for Completion

RETURN OF DATA

- 7 The completed workbook should be returned by e-mail to hestats@hefcw.ac.uk no later than **9 January 2007**.
- 8 It is important that returns are made on time if funding allocations for 2007/08 are to be determined by March 2007. **HEFCW reserves the right to enter its own estimates of research data for institutions which fail to return the survey on time.**
- 9 When data are returned, they go through a validation and credibility checking process. Once any subsequent queries have been resolved, data are sent out to institutions for verification. The process will follow the timetable outlined below.

9 January 2007 RAS return deadline
16 January 2007 RAS verifications sent to institutions
31 January 2007 RAS verifications return deadline

- 10 In the event of a deadline being missed by more than three working days, a letter will be faxed to the head of the institution concerned reminding them that HEFCW reserves the right to enter its own estimates of research data for institutions which fail to return the survey on time and indicating that HEFCW intends to do this if immediate action is not taken. Failure to return the data or verification report within two working days will result in a letter from the Chief Executive of HEFCW to the head of the institution stating the figures that will be used in place of the institution's own data.
- 11 Each subsequent deadline should be met regardless of any delay in meeting the preceding deadline.
- 12 Any queries about the return should be directed to Liz Heal (telephone 029 2068 2231, e-mail hestats@hefcw.ac.uk).

NOTES OF GUIDANCE

- 1 Printed versions of the tables to be completed are shown in Annex G. Each institution will be e-mailed the tables in an Excel 2000 workbook. There are two tables for completion included in the workbook, R1 and R2. R1 collects data on research assistants, research fellows and research students; R2 collects external research income from UK based charities for the financial year 2005-06. The definitions to be applied correspond to those used in the 2001 RAE, described in Circular 2/99, which can be found on the RAE web-site, www.hero.ac.uk/rae, under 'Guidance for Institutions'.
- 2 The data requested in tables R1 and R2 will be used in the allocation of QR funding. The data are to be entered at UoA level and are only to be completed for UoAs which were awarded a rating of 4 or above in the 2001 RAE.

RESEARCH ASSISTANTS

- 3 Information on the FTE numbers of research assistants should be returned in column 1 of Table R1. The data should be consistent with those supplied on form RA0 of the 2001 RAE, updated to reflect the position as at 31 March 2006, and returned to no more than two decimal places. See Annex B.

RESEARCH FELLOWS

- 4 Information on the FTE numbers of research fellows should be returned in column 2 of Table R1. The information should be consistent with that supplied on form RA1/2 of the 2001 RAE, updated to reflect the position as at 31 March 2006, and be returned to no more than two decimal places. The FTE returned should be that relating to salary paid from specific income (excluding NHS funds for UoAs 10, 11 and 13). See Annex C.

RESEARCH STUDENTS

- 5 Information on the numbers of full-time and part-time research students should be returned in column 3 of Table R1, to no more than two decimal places. The number of students for each mode in total should sum to a whole number. Information on FTE numbers of part-time research students should be returned in column 4 of Table R1, to no more than two decimal places. The data should be consistent with those shown on form RA3a of the 2001 RAE, updated to reflect the position as at 1 December 2005. See Annex D.

EXTERNAL RESEARCH ON INCOME FROM UK BASED CHARITIES

- 6 Income from UK based charities for 2005-06 consistent with the amount shown in the HESA finance record Table 4 for those UoAs rated 4 and above should be provided in Table R2. See Annex E.

FURTHER GUIDANCE

- 7 More comprehensive definitions of the data requested by this survey are provided in the annexes which follow. Institutions should also refer to the Circular 2001 RAE 2/99 and the 2005/06 HESA finance record coding manual for further clarification.

RESEARCH ASSISTANTS

- 1 HEFCW uses the FTE number of research assistants as a component of the volume element in the funding of research. All research assistants included in this survey should be associated with at least one member of academic staff (Category A, A* or C) who is actively involved in research.
- 2 Research assistants are employed by the institution to carry out another individual's research programme rather than as independent researchers in their own right. Their primary employment function is research. They are often employed on short term contracts funded by research grants or contracts from research councils, charities or industry.
- 3 Postgraduate research assistants should be distinguished from postdoctoral research assistants. Research assistants graded 1A and above on the former University Authorities Panel (UAP) pay scales, or graded B and above on the former Polytechnics and Colleges Employers Forum (PCEF) pay scales, should be returned as postdoctoral research assistants. Research assistants graded 1B on the former UAP pay scales, or graded A on the former PCEF pay scales should be returned as postgraduate research assistants. Where other pay scales exist, they should be mapped onto the UAP or PCEF pay scales to distinguish between postdoctoral and postgraduate research assistants. The former normally have a higher degree. Postgraduate research assistants normally do not have a research-based degree and are more junior.
- 4 Where a postgraduate research assistant has to register for a higher degree as a condition of their employment they should be returned as a research student and **not** a research assistant. Where a postgraduate research assistant chooses to register for a higher degree they should be returned as a part-time research assistant and also as a part-time research student, for 50% of their contracted FTE in each case.

RESEARCH FELLOWS

- 1 HEFCW uses the FTE of research fellows as a component of the volume element in the funding of research. Research fellows hold specific awards on the basis of their own research record or research proposals. Fellowships are often for a fixed term, typically three or five years. Funding for these awards comes from a range of sources outside the institution, but can be channelled through it so that the individual remains an employee of the institution. Examples of such fellowships are Research Council Fellows (senior, advanced and postdoctoral) and Royal Society Research Fellows and Professors.
- 2 For the purpose of this survey, only those research fellows on the institution's payroll and funded from specific income (excluding NHS funds for UoAs 10, 11 and 13 only) are to be returned. Research fellows who receive funding directly from their sponsoring bodies, as is the case for NATO and UN fellowships, may not be returned in this survey. Visiting fellows are also to be excluded. University of Wales Research Fellows should be included.
- 3 The FTE returned should be in proportion to salary paid from specific income (excluding NHS funds for UoAs 10, 11 and 13 only). For example if a research fellow with an FTE of 0.5 had 20% of their salary paid from general funds, and 80% from specific funds, then an FTE of 0.4 would be returned against the appropriate UoA in column 2 of Table R1. If the research fellow was paid entirely from specific funds, then an FTE of 0.5 would be returned.

RESEARCH STUDENTS

- 1 HEFCW uses the FTE of research students as a component of the volume element in the funding of research. All research students included in this survey should be associated with at least one member of academic staff who is actively involved in research. Home, EC, Island and overseas students should all be included.
- 2 Research students should be returned by the institution where they are registered. Postgraduate research students are normally supervised and registered for a research based higher degree.
- 3 A research-based higher degree is one awarded primarily on the basis of a substantial thesis or equivalent submitted by the student and resulting from the student's original research.
- 4 Students who have completed the work of the course but have yet to complete the requirements for the award, for example, students writing up a thesis, should be excluded.
- 5 A student whose registration is suspended at 1 December 2005 should not be included.
- 6 If the student does not study for a full year in their final year of programme of study, the student should be returned as a part-time student in their final year, with an FTE reflecting the proportion of a full year of study. They should be returned even if the student is not active on 1 December in the final year of programme.
- 7 Postgraduate research assistants who are registered for a research-based higher degree should be returned as part-time students except those for whom registration for a higher degree is a condition of employment, who should be returned as full-time research students and not as research assistants. See also paragraph 4 of Annex B.
- 8 Students registered for research qualifications awarded primarily on the basis of published works should be excluded.
- 9 Students employed by outside research organisations and based outside the department for the majority of their study should normally be excluded. However, students engaged on forms of work-based learning such as Postgraduate Training Partnerships and the Engineering Doctorate may be included. Teaching Company Scheme employees registered for a research degree may be included where they are based within the department for the majority of their study.

EXTERNAL RESEARCH INCOME FROM UK BASED CHARITIES

- 1 The actual research income from external grants or contracts received in 2005-06, for the period 1 August 2005 to 31 July 2006, should be reported. For this purpose the HESA definition of research income will apply, that is, all income in respect of externally sponsored research carried out by the institution (or its subsidiary organisation) and for which directly related expenditure has been incurred (including recovery of indirect costs).
- 2 Research grants and contract income from all charitable foundations, charitable trusts etc, based in the UK and registered with the Charities Commission, or from exempt charities, should be shown.
- 3 Grants or contracts for which income is included in this return should be associated with at least one member of staff who is research active (in this context, whether a member of staff is research active is irrespective of their treatment in the 2001 RAE or how they are likely to be treated in the next RAE). Subject to this, all income in respect of research carried out at the institution and for which directly related expenditure has been incurred should be returned. Income should be stated at full value including any recovery for indirect costs whether retained by the institution or department, or at the disposal of an individual within a department. Amounts in respect of costs for existing staff or facilities within research grants or contracts may be included.
- 4 Income which has been administered through the institution's own accounts should be included. Income administered through the account of a subsidiary company wherever that income was consolidated in the institution's finance return made to the Council should also be included. Income not handled in either of these ways - including income received directly by individuals working in the department, gifts of equipment, and funding for building work not paid as part of the grant or contract for a specified research project should be excluded.
- 5 Where a grant or contract is held, or the work conducted, across more than one UoA it should be divided between UoAs reflecting the manner in which the income has been used.
- 6 Where a project is being undertaken by a number of institutions and one institution acts as 'lead institution', only income received by the institution making the return, and relating to the work actually being undertaken by it, should be included. The lead institution should therefore not include any portion of income passed on to co-operating institutions.
- 7 Researchers will on occasion move between institutions during the progress of a grant or contract. If the original institution continues to receive income from the grant or contract then this should be accounted to that institution alone. If the old grant or contract is cancelled and a new one is issued to the new institution, then the income from each should be included by the appropriate institution.
- 8 If an individual moves institution but continues to work on a grant or contract held jointly with other members of staff at the original institution, the income may be included only by the institution which received it. The ruling on grants or contracts held by researchers at more than one institution applies only to awards that are specifically allocated at the start to individuals at more than one institution, not in the case of individuals who move institution after the award is announced.

WORKBOOK NOTES

- 1 An Excel 2000 workbook containing the tables to complete for the 2006/07 Research Activity Survey will be e-mailed to RAS contacts at individual HEIs. The workbook is individually prepared for each institution.
- 2 The workbook will contain three worksheets, Table R1, Table R2 and a comparison table (see paragraph 9 below). The workbook will be named ____RAS.xls, where the prefix is the institution's four character HESA code.
- 3 Each table is contained in a separate worksheet within the workbook and worksheets are named after the relevant table.
- 4 If the workbook is corrupt or unreadable please contact Liz Heal (029 2068 2231) for assistance.
- 5 It is advisable to make a backup copy of the blank workbook before attempting to edit any of the tables.
- 6 Institutions must not attempt to change the structure of the workbook by adding or deleting worksheets, rows or columns, or by overwriting or deleting any formulae. Worksheets contain information critical to loading of the data and it is essential that the structure of the workbook is not changed in any way.
- 7 Each workbook should be saved in Excel on completion using the same filename and extension as that originally supplied. Names of the individual worksheets must not be changed. If the workbook is not saved in Excel 2000, institutions should ensure that the software has not used a different file extension by default.
- 8 The worksheets containing Tables R1 and R2 each contain a number of validation checks. These are described in more detail in paragraphs 11 to 16. Institutions should ensure their data pass all validation checks before the workbook is returned.
- 9 There is an additional worksheet contained in the workbook, which shows a comparison between the data returned on the 2005/06 RAS for research assistants, research fellows, research students and income from UK based charities, and those returned on Tables R1 and R2. The worksheet does not need to be completed and is intended to be used for information and checking purposes only.
- 10 The completed workbooks should be returned by e-mail to hestats@hefcw.ac.uk. Receipt of e-mail submissions will be confirmed.

Validation checks

- 11 A number of validation checks have been built into the Excel workbook and these are listed below. If any validation check is failed, the validation cell above the appropriate table will read 'Validation: Failure, please check figures'. If all validation checks on the particular table are passed, a message reading 'Validation: All checks passed' will appear in the validation cell.
- 12 In Tables R1 and R2, if a UoA that was not rated 4 or above in the 2001 RAE has data returned against it, a validation failure will occur. A list of the UoAs failing validation can be found in the validation table to the side of Table R1 or Table R2 as appropriate.
- 13 In Tables R1 and R2, if data are entered to more than 2 decimal places, a validation failure will occur. The figure(s) entered to more than two decimal places will be highlighted in red and a message will appear at the top of the appropriate table.
- 14 In Table R1, if a UoA has data returned against it in column 3b, number of part-time research students, but column 4, FTE of part-time research students, has not been completed, or vice

versa, a validation failure will occur. A list of the UoAs failing validation can be found in the validation table to the side of Table R1.

- 15 In Table R1, if the FTE of part-time students returned in column 4 is greater than the number of part-time students returned in column 3b, for each UoA, a validation failure will occur. A list of the UoAs failing validation can be found in the validation table to the side of Table R1.
- 16 In Table R1, if the total number of research students in column 3, for each mode of study, is not a whole number, then the figure will be highlighted in red and a message will appear at the top of the table.

PRINTED TABLES FOR COMPLETION BY HEIs FUNDED BY HEFCW

HEFCW Research Activity Survey 2006/07
 Form R1: Research Assistants, Research Fellows and Research Students

Institution:
 Code:

Validation: All checks passed

| Unit of Assessment | 1 FTE Number of Research Assistants (at 31 March 2006) | | 2 FTE Number of Research Fellows (at 31 March 2006) | 3 Number of Research Students (at 1 December 2005) | | 4 FTE number of Part-time Research Students (at 1 December 2005) |
|---|--|-----------------|--|--|--------------|---|
| | a) Postdoctoral | b) Postgraduate | | a) Full-time | b) Part-time | |
| 1 Clinical Laboratory Sciences | | | | | | |
| 2 Community-based Clinical Subjects | | | | | | |
| 3 Hospital-based Clinical Subjects | | | | | | |
| 4 Clinical Dentistry | | | | | | |
| 5 Pre-clinical Studies | | | | | | |
| 6 Anatomy | | | | | | |
| 7 Physiology | | | | | | |
| 8 Pharmacology | | | | | | |
| 9 Pharmacy | | | | | | |
| 10 Nursing | | | | | | |
| 11 Other Studies and Professions Allied to Medicine | | | | | | |
| 13 Psychology | | | | | | |
| 14A Biological Sciences | | | | | | |
| 14B Biological Sciences | | | | | | |
| 15 Agriculture | | | | | | |
| 16 Food Science and Technology | | | | | | |
| 17 Veterinary Science | | | | | | |
| 18 Chemistry | | | | | | |
| 19 Physics | | | | | | |
| 20 Earth Sciences | | | | | | |
| 21 Environmental Science | | | | | | |
| 22 Pure Mathematics | | | | | | |
| 23 Applied Mathematics | | | | | | |
| 24 Statistics and Operational Research | | | | | | |
| 25 Computer Science | | | | | | |
| 26 General Engineering | | | | | | |
| 27 Chemical Engineering | | | | | | |
| 28 Civil Engineering | | | | | | |
| 29 Electrical and Electronic Engineering | | | | | | |
| 30 Mechanical, Aeronautical and Manufacturing Engineering | | | | | | |
| 31 Mineral and Mining Engineering | | | | | | |
| 32 Metallurgy and Materials | | | | | | |
| 33 Built Environment | | | | | | |
| 34 Town and Country Planning | | | | | | |
| 35 Geography | | | | | | |
| 36 Law | | | | | | |
| 37 Anthropology | | | | | | |
| 38 Economics and Econometrics | | | | | | |
| 39 Politics and International Studies | | | | | | |
| 40 Social Policy and Administration | | | | | | |
| 41 Social Work | | | | | | |
| 42 Sociology | | | | | | |
| 43 Business and Management Studies | | | | | | |
| 44 Accounting and Finance | | | | | | |
| 45 American Studies | | | | | | |
| 46 Middle Eastern and African Studies | | | | | | |
| 47 Asian Studies | | | | | | |
| 48 European Studies | | | | | | |
| 49 Celtic Studies | | | | | | |
| 50 English Language and Literature | | | | | | |
| 51 French | | | | | | |
| 52 German, Dutch and Scandinavian Languages | | | | | | |
| 53 Italian | | | | | | |
| 54 Russian, Slavonic and East European Languages | | | | | | |
| 55 Iberian and Latin American Languages | | | | | | |
| 56 Linguistics | | | | | | |
| 57 Classics, Ancient History, Byzantine and Modern Greek | | | | | | |
| 58 Archaeology | | | | | | |
| 59 History | | | | | | |
| 60 History of Art, Architecture and Design | | | | | | |
| 61 Library and Information Management | | | | | | |
| 62 Philosophy | | | | | | |
| 63 Theology, Divinity and Religious Studies | | | | | | |
| 64 Art and Design | | | | | | |
| 65 Communication, Cultural and Media Studies | | | | | | |
| 66 Drama, Dance and Performing Arts | | | | | | |
| 67 Music | | | | | | |
| 68 Education | | | | | | |
| 69 Sports-related Subjects | | | | | | |
| Total | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |

Data should be returned for units of assessment rated 4 and above in the 2001 RAE only.
 All data should be returned to no more than 2 decimal places.
 The total number of research students by mode of study should equal a whole number.

HEFCW Research Activity Survey 2006/07
 Form R2: External Research Income from UK based Charities

Institution:
 Code:

Validation: All checks passed

| Unit of Assessment | Financial Year 2005-06 Income from UK based Charities (£) |
|---|--|
| 1 Clinical Laboratory Sciences | |
| 2 Community-based Clinical Subjects | |
| 3 Hospital-based Clinical Subjects | |
| 4 Clinical Dentistry | |
| 5 Pre-clinical Studies | |
| 6 Anatomy | |
| 7 Physiology | |
| 8 Pharmacology | |
| 9 Pharmacy | |
| 10 Nursing | |
| 11 Other Studies and Professions Allied to Medicine | |
| 13 Psychology | |
| 14A Biological Sciences | |
| 14B Biological Sciences | |
| 15 Agriculture | |
| 16 Food Science and Technology | |
| 17 Veterinary Science | |
| 18 Chemistry | |
| 19 Physics | |
| 20 Earth Sciences | |
| 21 Environmental Science | |
| 22 Pure Mathematics | |
| 23 Applied Mathematics | |
| 24 Statistics and Operational Research | |
| 25 Computer Science | |
| 26 General Engineering | |
| 27 Chemical Engineering | |
| 28 Civil Engineering | |
| 29 Electrical and Electronic Engineering | |
| 30 Mechanical, Aeronautical and Manufacturing Engineering | |
| 31 Mineral and Mining Engineering | |
| 32 Metallurgy and Materials | |
| 33 Built Environment | |
| 34 Town and Country Planning | |
| 35 Geography | |
| 36 Law | |
| 37 Anthropology | |
| 38 Economics and Econometrics | |
| 39 Politics and International Studies | |
| 40 Social Policy and Administration | |
| 41 Social Work | |
| 42 Sociology | |
| 43 Business and Management Studies | |
| 44 Accounting and Finance | |
| 45 American Studies | |
| 46 Middle Eastern and African Studies | |
| 47 Asian Studies | |
| 48 European Studies | |
| 49 Celtic Studies | |
| 50 English Language and Literature | |
| 51 French | |
| 52 German, Dutch and Scandinavian Languages | |
| 53 Italian | |
| 54 Russian, Slavonic and East European Languages | |
| 55 Iberian and Latin American Languages | |
| 56 Linguistics | |
| 57 Classics, Ancient History, Byzantine and Modern Greek | |
| 58 Archaeology | |
| 59 History | |
| 60 History of Art, Architecture and Design | |
| 61 Library and Information Management | |
| 62 Philosophy | |
| 63 Theology, Divinity and Religious Studies | |
| 64 Art and Design | |
| 65 Communication, Cultural and Media Studies | |
| 66 Drama, Dance and Performing Arts | |
| 67 Music | |
| 68 Education | |
| 69 Sports-related Subjects | |
| Total | 0.00 |

Data should be returned for units of assessment rated 4 and above in the 2001 RAE only.
 All data should be returned to no more than two decimal places.