Guidance for when requesting changes to awards’ response codes

Every year before the next UKRI Researchfish Submission Period, the Councils update the response codes of their funded awards on researchfish®. Once this has taken place there is then a period of time where institutions are asked to look at all of the response codes for their UKRI funded awards, consider where they feel changes are necessary, and then make reasoned requests to have those changes be made. The following document sets out what the different codes mean and gives guidance on what UKRI would consider appropriate or inappropriate circumstances for changes to an award’s response code prior to a Submission Period.

What the different response codes mean

The following section gives you information about the five response codes, their meaning, and the affect this will have on the submission status of different types of UKRI award holder during the Submission Period.

UKRI policies differ between grant and studentship holders. Below we have provided you with two different tables detailing what each response code means for Principal Investigators (PIs)/Fellows, and what they mean for Students:

PIs and Fellows

<table>
<thead>
<tr>
<th>Response Code</th>
<th>Descriptor</th>
<th>Affects ‘research organisation’s compliance’ statistics?</th>
<th>Non-submission triggers Sanctions Policy?</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>A submission is expected this year from the PI or Fellow.</td>
<td>Yes</td>
<td>Yes</td>
</tr>
<tr>
<td>2</td>
<td>No submission is expected this year. The PI or Fellow has been granted a one year exemption.</td>
<td>No</td>
<td>No</td>
</tr>
<tr>
<td>3</td>
<td>No further submissions are expected against this award. The award is excluded from the Submission Period.</td>
<td>No</td>
<td>No</td>
</tr>
<tr>
<td>4</td>
<td>A submission is expected this year from the PI or Fellow but they are no longer working at the funded organisation.</td>
<td>No</td>
<td>Yes</td>
</tr>
<tr>
<td>5</td>
<td>The PI or Fellow is no longer expected to make a submission, but may still do so if they wish to add new outcomes</td>
<td>No</td>
<td>No</td>
</tr>
</tbody>
</table>
Students

<table>
<thead>
<tr>
<th>Response Code</th>
<th>Descriptor</th>
<th>Affects ‘research organisation’s compliance’ statistics?</th>
<th>Non-submission triggers Sanctions Policy?</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>The Student will be asked for a submission this year</td>
<td>Yes#</td>
<td>No</td>
</tr>
<tr>
<td>2</td>
<td>No submission will be asked for this year. Student has been granted a one year exemption</td>
<td>No</td>
<td>No</td>
</tr>
<tr>
<td>3</td>
<td>No further submissions are expected against this Studentship. The Studentship is excluded from the Submission Period</td>
<td>No</td>
<td>No</td>
</tr>
<tr>
<td>4</td>
<td>The Student will be asked for a submission this year but their funding end date has now passed</td>
<td>No</td>
<td>No</td>
</tr>
<tr>
<td>5</td>
<td>The Student will be asked if they wish to make a submission this year (funding finished a significant period of time ago)</td>
<td>No</td>
<td>No</td>
</tr>
</tbody>
</table>

# UKRI understands that some Students may be registered at one research organisation, but will actually be working at a different one. However, for the purposes of compliance statistics a Student will be counted as being at the research organisation where they are registered and not the one where they may actually be working.

Circumstances for making a change to an award’s response code

UKRI recognises that there are circumstances where an institution may feel it is necessary to request for a change in an award’s response code to be made ahead of the next Submission Period. The following tables are designed to help you understand circumstances where UKRI would consider certain changes to be appropriate, but also ones considered inappropriate.

Examples of appropriate circumstances:

<table>
<thead>
<tr>
<th>Response Code</th>
<th>Circumstances</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>The PI or Student holding the award is still working at your institution.</td>
</tr>
</tbody>
</table>
| 2             | The PI or Student holding the award will be unable to submit outcomes during the forthcoming Submission Period due to temporary personal circumstances such as:  
- on Parental leave,  
- absent due to long term sickness (UKRI does not require to be told any further details),  
The recorded PI is permanently unable to submit outcomes but the award is still active and the research organisation is unable to appoint a replacement before the end of the Submission Period. |
| 3#            | An acceptable outcomes record has already been submitted for the award, its funding ended a significant time ago*, and the PI confirms no further outcomes or impacts are expected                                           |
### Circumstances for a change to this response code include:
- The award’s funding has finished and the PI who led the research is no longer at the funded research organisation.
- A Studentship’s funding has come to an end before the start of the Submission Period
- The funding for the award has been transferred to another research organisation (N.B. the transfer of the award must be dealt with through the established Je-S process, and not through the UKRI Research Outcomes Support Team)

### The award’s funding has been finished for a significant period of time* but the award may still have outcomes to report in the future.

### Examples of unsuitable requests:

<table>
<thead>
<tr>
<th>Requested Response Code</th>
<th>Inappropriate if:</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>The PI or Student holding the award no longer works at your institution or the PI or Student holding the award still works at your institution but the funding for the award has been finished for a significant period* (response codes 3 or 5 may be appropriate)</td>
</tr>
</tbody>
</table>
| 2                       | During the Submission Period the PI or Student holding the award will:  
- be absent for only part of the submission period (insufficient reason to change from a code 1)  
- have intermittent access to the internet due to fieldwork (insufficient reason to change from a code 1)  
- be on sabbatical leave but still actively engaged in research  
- the current response code is code 3 or 5 (submission not required so change unnecessary) |
| 3*                      | The recorded PI is permanently unavailable but the award’s funding is current or has not been finished for a significant period of time*. In such cases a replacement person to carry on reporting should be identified by the funded institution. This might be:  
- Another PI, or  
- A Co-Investigator, or  
- Another researcher engaged in the funded research  
The UKRI councils expect to be informed who is best placed to do so and will make arrangements for that person to submit the outcomes in place of the recorded PI.  
PIs who have ‘retired’ but still maintain an ongoing role with their funding institution e.g. Emeritus Professor who still uses their institutional email address |
| 4                       | The PI is still working at your research organisation and the award is still current or has not been finished for a significant period of time* (should stay as response code 1)  
Hypothetical examples:  
- A Studentship’s funding end date has not passed before 4th February 2019. |
| 5 | The award’s funding has not finished for a significant period of time* |

* Definition of ‘a significant period of time’

Unless specified elsewhere or agreed otherwise, UKRI awards must have ended at least five years before a Submission Period to be eligible for response code 3 or 5, but that we may require a longer reporting period for some investments.

*Requests to close awards for reporting*

i. **Considerations taken before decisions are made**

Please be aware that due to the finality of any such decision in terms of future outcomes reporting, requests made for an award’s status to be changed to a response code 3 will be judged by a UKRI Council on a case by case basis.

Councils will base decisions on a combination of factors that will include, but are not restricted to:

- the length of the active duration of an award
- the amount of time that has passed since funding ended
- the amount of funding involved
- the nature of the activity supported by the award
- the availability of others with appropriate knowledge to take over reporting
- the outcomes already attributed to that award / the overall quality of existing reporting
- previous one year postponements of reporting against an award

ii. **Grants within 5 years of funding ending**

It is important to note that in the majority of cases requests to close a grant’s reporting within five years of its funding ending will be rejected by UKRI. Therefore in cases where the PI of a grant is permanently unavailable, research organisations should try to find a suitable person to take over reporting for that award (e.g. a Co-Investigator or other colleague of the PI with a good knowledge of the activity supported by the award), and agree the proposed change with UKRI.

**Council Specific guidance**

Some Councils have also provided details about where there may be variations from the general principle:
EPSRC – The number of years in which submissions are required after an award ends is determined by the funding scheme; most schemes require submissions for five years, but there are some exceptions. A small number require submissions for only three years and three schemes require submissions for eight years. Further details can be found here.

MRC - The MRC does not automatically use response code 5 for awards which are five years beyond the end of their funding. In order to ensure the capture of valuable longer-term impacts such as uptake into clinical guidance or policy, it is important that grant holders are able to report their outcomes for as long they think they will be produced. Further details can be found here.