



Research  
England

## **2021-22 Recurrent research and knowledge exchange funding: technical guidance**



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## Purpose of this document

1. This document is aimed at those in planning and finance offices who need to have a good understanding of how Research England grant is calculated. It provides a summary of changes to funding for 2021-22 and explains in detail how the figures in the 2021-22 recurrent grant tables have been derived. Abbreviated references are used in this document; the full title or descriptions are given at the end. The content of this document is split into three sections to cover the following areas:
  - a. **Section one** - describes the processes for data amendments and transfers. It also summarises the funding agreement and data assurance
  - b. **Section two** - describes any changes to the funding methods in 2021-22 and the presentation of the grant tables
  - c. **Section three** - contains a detailed description of each of the individual tables which form the 2021-22 grant tables and is intended to be a reference for anyone looking to understand how each allocation has been derived.
2. The 'Research and knowledge exchange funding for 2021-22' ([RE-P-2021-02](#)) publication summarises our main recurrent, non-recurrent and formula capital funding to higher education providers for 2021-22. Annex A to the publication details the allocations for individual providers. Each provider can access their own grant tables and the supporting documents through the Research England website.

## Section one

### Further information and requests for changes

3. If you have any questions about your grant, please contact [annualfunding@re.ukri.org](mailto:annualfunding@re.ukri.org). The funding methods we are implementing for 2021-22 are detailed in the guide '[How we fund higher education providers](#)'.
4. Circular letter 'Funding for 2021-22' ([RE-CL-2021-08](#)) describes the budget decisions taken by the Executive Chair with the endorsement of the Research England Council on funding for 2021-22.
5. While we do not require a response to this document, there may be circumstances in which providers wish to request changes to their allocations. The process for this is described below.

## Requests for changes to allocations

6. Where providers believe that any change to their allocations is necessary, as a result of amendments to their data, they should contact us in good time.

## Amendments to data

7. Research England operates on the expectation that the data signed off as correct by the head of provider is the final data that we will use; this is also consistent with published data. Additionally, we will usually only amend data which affects the current allocations. Therefore, we will only accept amendments to signed off data in the following circumstances:
  - a. Upon completion of any data audit.
  - b. Where data errors are identified (which are assessed to be widespread, significant and have a material impact on Research England's use of the data).
  - c. In exceptional circumstances.
8. Any such amendments will be subject to an assessment process. Those resulting from data error will be reviewed by a joint Office for Students (OfS) - Research England data panel, who will judge whether the identified errors are widespread, significant (that is, data must be substantially incorrect and errors do not involve re-interpretation) and material (that is, the impact of the amendments has a material effect on the funding allocations for which it is used). Once an amendment has been assessed by the panel we will not consider substantively the same amendment again. Providers will be informed of the panel decision and will have an opportunity to appeal within a short timescale.
9. Requests to make any amendments to data must be submitted as follows.
  - a. For HESA Student, Finance and HE-BCI records and Office for Students (OfS) Annual financial returns (AFR), a completed error summary template should be submitted. Guidance for the joint process is provided [on the OfS website](#).
  - b. Once a completed error summary template has been submitted, Research England should be notified by email to [data\\_queries@re.ukri.org](mailto:data_queries@re.ukri.org).
10. Data amendment panel meetings are held throughout the year, to fit in with the timescales needed to process data for OfS or Research England purposes.

## Other changes

11. If you believe that the allocations should change for any other reason, such as for mergers, please contact [data\\_queries@re.ukri.org](mailto:data_queries@re.ukri.org).

## The Research England terms and conditions of funding

12. The terms and conditions of funding set out the formal relationship between UK Research and Innovation and the providers that it funds in relation to funds administered through Research England. The final terms and conditions applicable to funding provided to higher education providers for the 2021-22 academic year are published on our website<sup>1</sup>. The terms and conditions include those related to provision of data and compliance with governance and data assurance requirements. Providers should read the terms and conditions in conjunction with this publication.

## Section two

### Developments to funding methods for 2021-22

13. There are no changes to the funding method for research.
14. For the 2021-22 HEIF allocations, the maximum year-on-year increase will revert to +10 per cent.

## Section three

### The recurrent grant tables

15. There are six grant tables, which show how funding for the provider has been derived. They are described in detail in this document, but in summary are:

Table A	Provides summary details of allocations of funding for research and knowledge exchange (largely derived from the calculations on subsequent tables). It also shows allocations for the Museums, Galleries and Collections Fund.
Table B	Shows the calculation of mainstream QR and London weighting on mainstream QR.
Table C	Shows the calculation of the QR charity support fund and QR business research element.

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<sup>1</sup> <https://re.ukri.org/finance/terms-and-conditions-of-research-england-grant/>

- Table D Shows the calculation of the QR RDP supervision fund.  
Table E Shows the knowledge exchange allocations  
Table F Shows the parameters used in the HEIF allocations

16. In this document, each row and column of the accompanying grant tables is described beneath a sub-heading in the order that they appear in the tables. Italics have been used in the explanatory text to indicate that a row or column heading is being referenced, from:
- the accompanying 2021-22 grant tables
  - the HESA HE-BCI return
  - data provided by Innovate UK
  - the HESA Finance record and the OfS AFR
  - the HESA Student record
17. Where any of the last four sources are referred to, this is made clear in the text. Otherwise references are to the 2021-22 grant tables.

## **Table A: 2021-22 Summary of allocations**

### **Summary of allocations**

18. This section is a summary of the grant allocations shown in Tables B, C, D and E, together with funding for museums, galleries and collections. Where figures are not simply copied from the other tables, explanations of how the figures are calculated are given in paragraphs 19 and 20.

### **QR funding for National Research Libraries**

19. This allocation, totalling £7 million, is for five libraries which were designated as being of national importance. The allocation is unchanged from 2020-21.

### **Museums, Galleries and Collections Fund**

20. This allocation, totalling £11 million, provides support for museums, galleries and collections in the sector to help them serve the wider research community, where this costs them significantly more than meeting the needs of their own researchers and students.

## **Table B: 2021-22 Mainstream QR funds and London weighting**

21. The top of the worksheet provides a summary of the allocations of recurrent research funding for:
- Mainstream QR funds

- London weighting on mainstream QR

along with a table showing the breakdown by unit of assessment (UOA). Figures in the table have been rounded for display purposes. However, the calculations are done to several decimal places, so there may be some rounding differences within the table.

### Mainstream QR funds total

22. This is the sum of *Mainstream QR funds (£)* for each UOA shown in the table *Distribution of QR by unit of assessment*. The calculation of *Mainstream QR funds* is described below. A total of £1,061 million is being allocated for 2021-22. The steps to determine the mainstream QR allocations are described in [How we fund higher education providers](#).

### London weighting on mainstream QR

23. This is the sum of *London weighting on mainstream QR (£)* for each UOA shown in the table *Distribution of QR by unit of assessment*. It is calculated as 12 per cent for inner London and 8 per cent for outer London of the *Mainstream QR funds* for each UOA. It totals £34 million for the sector as a whole.

### Distribution of QR by unit of assessment

#### *Unit of assessment*

24. UOAs are shown only where the quality profile has some activity at the 3\* or 4\* level.

#### *Sub-profile*

25. This column shows the sub-profile reflecting the three elements of outputs, impact and environment assessed in each submission.

#### *REF sub-profile (%)*

26. These five columns show the sub-profile outcomes for each UOA. The percentages at each quality level match those published on the REF 2014 website at [www.ref.ac.uk/2014/](http://www.ref.ac.uk/2014/).

#### *Volume (notional staff FTE)*

27. These six columns show the volume in each UOA. The total of the first five columns is the number of research active category A staff FTE in the REF 2014 submission. The volume at each quality level is calculated by multiplying the total volume by the percentages for each quality level given in the *REF sub-profile (%)*. The column *Total funded volume* is the sum of the volume associated with levels 4\* and 3\*.

### *Quality-weighted volume*

28. These six columns show the *Volume (notional staff FTE)* at each quality level and in total, weighted to reflect the quality profile for the UOA. The quality weightings are:

<b>Quality rating (with abbreviated description)</b>	<b>Funding weighting</b>
4* (world-leading)	4
3* (internationally excellent)	1
2* (recognised internationally)	0
1* (recognised nationally)	0
Unclassified (below the standard of nationally recognised work)	0

### *Mainstream QR funds (£)*

29. For each UOA, this is calculated in proportion to each provider's share of the sector total *Quality-weighted volume*.

### *London weighting on mainstream QR (£)*

30. This is calculated as 12 per cent for inner London and 8 per cent for outer London of the *Mainstream QR funds (£)* for each UOA.

## **Table C: 2021-22 QR charity support fund and QR business research element**

31. This table shows the calculation of allocations of recurrent research funding for:

- QR charity support fund
- QR business research element.

32. The QR charities and QR business allocations are calculated in proportion to research income in the most recent four-year period (2016-17 to 2019-20).

### QR charity support fund

33. A total of £204 million is being allocated for 2021-22. This is allocated on the basis of the average of 2016-17 to 2019-20 income reported to the OfS AFR and HESA finance records.

#### *2016-17 Research income from charities (£)*

34. This is the sum of the following 2016-17 HESA finance record figures:
- a. Table 5 research grants and contracts which is calculated as Total research grants and contracts (Head 4) minus Co-investment from external sources on funding council-funded projects (included in Heads 1 to 4 above) (Head 5) from the following sources:
    - i. UK-based charities (open competitive process) (Table 5 Column 2).
    - ii. EU-based charities (open competitive process) (Table 5 Column 9).
    - iii. Non-EU-based charities (open competitive process) (Table 5 Column 12).
  - b. Table 6 against the heading Income for general research studentships from charities (open competitive process) (Head 4a).

#### *2017-18 Research income from charities (£)*

35. This is the sum of the following 2017-18 HESA finance record figures:
- a. Table 5 research grants and contracts which is calculated as Total research grants and contracts (Head 4) minus Co-investment from external sources on funding council-funded projects (included in Heads 1 to 4 above) (Head 5) from the following sources:
    - i. UK-based charities (open competitive process) (Table 5 Column 2).
    - ii. EU-based charities (open competitive process) (Table 5 Column 9).
    - iii. Non-EU-based charities (open competitive process) (Table 5 Column 12).
  - b. Table 6 against the heading Income for general research studentships from charities (open competitive process) (Head 4a)

*2018-19 Research income from charities (£)*

36. This is the sum of the following OfS AFR 2019 figures:

- a. Table 5 research grants and contracts which is calculated as Total research grants and contracts (Head 4) minus Co-investment from external sources on funding council-funded projects (included in Heads 1 to 4 above) (Head 5) from the following sources:
  - i. UK-based charities (open competitive process) (Table 5 Column 2).
  - ii. EU-based charities (open competitive process) (Table 5 Column 9).
  - iii. Non-EU-based charities (open competitive process) (Table 5 Column 12).
- b. Table 6 against the heading Income for general research studentships from charities (open competitive process) (Head 4a).

*2019-20 Research income from charities (£)*

37. This is the sum of the following OfS AFR 2020 figures:

- a. Table 5 research grants and contracts which is calculated as Total research grants and contracts (Head 4) minus Co-investment from external sources on funding council-funded projects (included in Heads 1 to 4 above) (Head 5) from the following sources:
  - i. UK-based charities (open competitive process) (Table 5 Column 2).
  - ii. EU-based charities (open competitive process) (Table 5 Column 9).
  - iii. Non-EU-based charities (open competitive process) (Table 5 Column 12).
- b. Table 6 against the heading Income for general research studentships from charities (open competitive process) (Head 4a).

*Average annual income (£)*

38. This is the average of *2016-17 Research income from charities (£)*, *2017-18 Research income from charities (£)*, *2018-19 Research income from charities (£)* and *2019-20 Research income from charities (£)* in the preceding 4 rows.

### *London weighting*

39. This is 1.12 for providers in inner London, 1.08 for those in outer London and 1.00 for other providers.

### *London-weighted research income (£)*

40. This is *Average annual income (£)* multiplied by *London weighting*.

### *Rate*

41. The rate of funding is approximately 18p per £1 of *London-weighted charities income (£)*.

### *QR charity support fund (£)*

42. This is *London-weighted charities income (£)* multiplied by *Rate*.

### *QR business research element*

43. A total of £64 million is being allocated for 2021-22. The calculation is based on an average of 2016-17 to 2019-20 income reported to the OfS AFR and HESA finance record.

### *2016-17 Research income from businesses (£)*

44. This is the sum of the following 2016-17 HESA finance record figures:

- a. Table 5 research grants and contracts which is calculated as *Total research grants and contracts* (Head 4) minus *Co-investment from external sources on funding council-funded projects (included in Heads 1 to 4 above)* (Head 5) from the following sources:
  - i. *UK industry, commerce and public corporations* (Table 5 Column 6).
  - ii. *EU industry, commerce and public corporations* (Table 5 Column 10).
  - iii. *Non-EU industry, commerce and public corporations* (Table 5 Column 13).

### *2017-18 Research income from businesses (£)*

45. This is the sum of the following 2017-18 HESA finance record figures:

- a. Table 5 research grants and contracts which is calculated as *Total research grants and contracts* (Head 4) minus *Co-investment from external sources on funding council-funded projects (included in Heads 1 to 4 above)* (Head 5) from the following sources:

- i. *UK industry, commerce and public corporations* (Table 5 Column 6).
- ii. *EU industry, commerce and public corporations* (Table 5 Column 10).
- iii. *Non-EU industry, commerce and public corporations* (Table 5 Column 13).

#### **2018-19 Research income from businesses (£)**

46. This is the sum of the following OfS AFR 2019 figures:

- a. Table 5 research grants and contracts which is calculated as *Total research grants and contracts* (Head 4) minus *Co-investment from external sources on funding council-funded projects (included in Heads 1 to 4 above)* (Head 5) from the following sources:
  - i. *UK industry, commerce and public corporations* (Table 5 Column 6).
  - ii. *EU industry, commerce and public corporations* (Table 5 Column 10).
  - iii. *Non-EU industry, commerce and public corporations* (Table 5 Column 13).

#### **2019-20 Research income from businesses (£)**

47. This is the sum of the following OfS AFR 2020 figures:

- a. Table 5 research grants and contracts which is calculated as *Total research grants and contracts* (Head 4) minus *Co-investment from external sources on funding council-funded projects (included in Heads 1 to 4 above)* (Head 5) from the following sources:
  - i. *UK industry, commerce and public corporations* (Table 5 Column 6).
  - ii. *EU industry, commerce and public corporations* (Table 5 Column 10).
  - iii. *Non-EU industry, commerce and public corporations* (Table 5 Column 13).

### *Average annual income (£)*

48. This is the average of the *2016-17 Research income from businesses (£)*, *2017-18 Research income from businesses (£)*, *2018-19 Research income from businesses (£)* and *2019-20 Research income from businesses (£)* in the preceding 4 rows.

### *Rate*

49. The rate of funding is approximately 12p per £1 of *Average annual income (£)*.

### *QR business research element (£)*

50. This is *Average annual income (£)* multiplied by *Rate*.

## **Table D: 2021-22 QR RDP supervision funds**

51. QR RDP supervision funding is allocated only for those UOAs for which mainstream QR is provided. It is calculated to reflect Home and EU PGR FTEs, quality, London weighting and the relative costs of the subjects. Figures in the table have been rounded for display purposes. However, the calculations are done to several decimal places, so there may be some rounding differences within the table. A total of £260 million of recurrent grant is being allocated for 2021-22.
52. Data that identifies different higher education providers participating in formal collaborative programmes for research training has been used to calculate QR RDP supervision funding since 2017-18.

### *QR RDP supervision funds total*

53. This is the sum of *QR RDP supervision funds (£)* for each UOA shown in the table. The calculation of *QR RDP supervision funds* is described below.

### *Unit of assessment*

54. UOAs are shown only where the quality profile has some activity at the 3\* or 4\* level.

### *UKPRN of collaborating provider*

55. This column shows the UKPRN for any UOA which is taught under a collaborative arrangement.
56. A separate row shows at UOA level for each collaborative arrangement identified on the 2019-20 HESA student record.

### Name of collaborating provider

57. This column shows the name of the collaborating provider from the previous column.

### Overall quality profile (%)

58. These five columns show the quality profile outcomes for each UOA. The percentages at each quality level match those published in [REF 01.2014](#).

### Quality score

59. A quality score is calculated for each department based on the amount of 3\* and 4\* activity as a proportion of total activity at 2\* quality and above in the quality profiles. That is:

$$\frac{\text{Overall quality profile (\%): } 3^* + 4^*}{\text{Overall quality profile (\%): } 2^* + 3^* + 4^*}$$

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$$\text{Overall quality profile (\%): } 2^* + 3^* + 4^*$$

### Adjusted PGR FTEs

60. This is eligible PGR FTEs derived from 2019-20 HESA student data. The revised method of counting research students will capture the student FTE within the latest available HESA Student Record without imposing limits on the individual student's total FTE or the number of years of study they have undertaken.

61. The eligible PGR FTEs have been adjusted to additionally reflect eligible PGR FTEs for students recorded in the 2019-20 HESA student record as concurrently supervised by other providers who were not eligible to submit to REF 2014. The adjustment has been done at the student instance level, and it is these adjusted FTEs that are used in the funding calculation. Further details will be available in a funding summary which will be released separately later.

### Weighted adjusted PGR FTEs (London, cost and quality-weighted)

62. For each UOA this is the product of:

- *Adjusted PGR FTEs*
- *Quality score*
- A weighting of 1.12 for providers in inner London, 1.08 for those in outer London and 1.00 for all other providers
- The appropriate relative cost weight:

		Weighting
A	High-cost laboratory and clinical subjects	1.6
B	Intermediate-cost subjects	1.3
C	Others	1.0

#### QR RDP supervision funds (£)

63. This is determined by distributing the total QR RDP supervision fund to departments<sup>2</sup> in proportion to *Weighted adjusted PGR FTEs (London, cost and quality-weighted)*. The rate of funding is approximately £4,304.

#### Table E: 2021-22 Knowledge exchange allocations

64. This shows the calculation of 2021-22 Knowledge exchange funding provided through HEIF.

#### 2017-18 income (£)

65. These are the figures as reported in the HESA HE-BCI record 2017-18, HESA finance record 2017-18, or as supplied to us by Innovate UK.

#### 2018-19 income (£)

66. These are the figures as reported in the HESA HE-BCI record 2018-19, OfS AFR 2019, or as supplied to us by Innovate UK.

#### 2019-20 income (£)

67. These are the figures as reported in the HESA HE-BCI record 2019-20, OfS AFR 2020, or as supplied to us by Innovate UK.

#### HE-BCI survey

68. This shows the reported income, as reported to HESA on the relevant HE-BCI survey, identified as follows:

#### *Income from contract research*

69. This is the value of 'Total value of contracts' (Table 1, Head 2h).

<sup>2</sup> The term 'department' means a group of staff and their research activity returned in a single submission within one subject UOA, irrespective of whether this forms a single administrative unit within the provider.

*Income from consultancy*

70. This is the value of 'Total income' (Table 2, Head 1h).

*Income from equipment and facilities*

71. This is the value of 'Total income' (Table 2, Head 2h).

*Income from regeneration*

72. This is the value of 'Total programmes' (Table 3, Head 1f).

*Income from intellectual property*

73. This is the value of 'Sub-total IP income' (Table 4, Head 3d).

*Income from SMEs in the above categories*

74. This is the sum of the following figures:

- a. Table 1: Research related activities
  - i. *Contract research (excluding any already returned in head 1 and research councils, 'Total value with SMEs' (Head 2b).*
- b. Table 2: Business and community services
  - i. *Consultancy, 'Total value with SMEs' (Head 1b).*
  - ii. *Facilities and equipment related services – organisations involved and income, 'Total value with SMEs' (Head 2b).*
- c. Table 4: Intellectual property (IP)
  - i. *IP income (including patents, copyright, design, registration and trade marks), Non-software licenses income, SMEs (Head 3a.i.).*
  - ii. *IP income (including patents, copyright, design, registration and trade marks), Software licenses income, SMEs (Head 3b.i.).*
  - iii. *IP income (including patents, copyright, design, registration and trade marks), Other IP income, SMEs (Head 3c.i.).*

### Innovate UK – KTP income

75. This is the relevant value of KTP (Knowledge Transfer Partnerships) income, as reported to us by Innovate UK.

### Income from NCB provision

76. This shows the reported income for non-credit bearing (NCB) course fees, as reported to HESA on the HESA finance record or to the OfS on the AFR, identified as follows:

- a. 2017-18, 2018-19 and 2019-20 = *Table 6: Tuition fees and education contracts analysed by domicile, mode, level and source, Non-credit bearing course fees (Head 2)*.

### Total per year

77. These are the relevant sums of the figures in the previous eight rows.

### Total weighted qualifying income

78. This is the sum of the following:

- a. *2017-18 income (£) Total per year* multiplied by 2.
- b. *2018-19 income (£) Total per year* multiplied by 3.
- c. *2019-20 income (£) Total per year* multiplied by 5.

### HEIF funds

79. This shows the breakdown of HEIF funds between *Main HEIF funds* and *Supplement*.

### *Main HEIF funds*

80. This shows the total Main HEIF funds (subject to the parameters as shown on Table F).

### *Supplement*

81. This is the amount of supplement allocated, split between the providers at the cap of Main HEIF fund allocations, based on their shares of qualifying income,

calculated according to the main knowledge exchange allocation method (subject to the parameters as shown on Table F).

#### Total HEIF funding (£)

82. This is the sum of *Main HEIF funds* and *Supplement*.

### **Table F: 2021-22 HEIF formula parameters**

83. This table provides the parameters used in the HEIF formula for 2021-22.

#### Total HEIF funds available

84. This sets out the breakdown of total HEIF funds available for 2021-22.

#### Main HEIF funds

85. This sets out the total amount to be allocated using the Main HEIF formula. For 2021-22 this totals £220 million.

#### Supplement

86. The allocation is split between the providers at the cap of Main HEIF fund allocations, based on their shares of qualifying income (calculated according to the main knowledge exchange allocation method). For 2021-22, this totals £10 million.

#### Total HEIF funds available

87. This is the sum of *Main HEIF funds* and *Supplement* and totals £230 million for 2021-22.

#### HEIF formula parameters

88. This sets out the parameters which apply to the Main HEIF funds and Supplement.

#### Main HEIF funds

89. This sets out the minimum threshold and the maximum allocation a provider can receive

### Minimum threshold

90. This is the minimum allocation which providers need to achieve through the formula to receive an allocation. For 2021-22, the minimum threshold is £250,000 per year.

### Maximum allocation

91. This is the maximum cap on individual provider allocations, which sets the upper limit for total Main HEIF funds a provider can receive. For 2021-22, the maximum allocation is £4.285 million.

### Yearly moderation factor

92. This is the factor by which year-on-year changes to allocations are moderated so that, subject to being above the minimum £250,000 threshold and below the £4.285 million cap, no provider has an increase of more than 10 per cent or a decrease of more than 10 per cent compared to their previous year's Main HEIF allocation.

### Supplement

93. This sets out the minimum and maximum allocations eligible providers (those providers at the cap of Main HEIF allocations) can receive as a supplement.

#### *Minimum allocation*

94. For 2021-22, the minimum supplement allocation is £200,000.

#### *Maximum allocation*

95. For 2021-22, the maximum supplement allocation is £500,000.

## Explanation of abbreviations, terms and references

AFR	Annual Financial Return: the finance return collected by the Office for Students
FTE	Full-time equivalent
HE-BCI	The HESA Higher Education – Business and Community Interaction return, used to inform knowledge exchange funding
HEP	Higher education provider
HESA	Higher Education Statistics Agency
OfS	Office for Students
PGR	Postgraduate research
QR	Quality-related research (funds)
RDP	Research degree programme
REF	Research Excellence Framework
<a href="#">REF 01.2014</a>	REF 2014: The results, available from <a href="http://www.ref.ac.uk">www.ref.ac.uk</a>
Research England Circular Letter <a href="#">RE-CL-2021-08</a>	'Funding for 2021-22'
UKPRN	UK Provider Reference Number. See <a href="http://www.ukrlp.co.uk/">www.ukrlp.co.uk/</a>
UKRI	UK Research & Innovation
UOA	Unit of assessment, used in the REF and research funding method.