

Annex A: Guidance on information required in the REF 2021 survey of submission intentions

Key information

1. The survey will collect information from HEIs about their submission intentions, to assist with planning of the assessment phase for REF 2021. The information provided in the survey will inform further appointments of members and assessors to the sub-panels.
2. The survey of submission intentions will open on 30 September 2019. The survey will close at noon on 6 December 2019. Only the authorised submitter for each HEI will be able to submit the completed survey.
3. All institutions intending to participate in the REF will need to complete the survey, and provide the required information.
4. Responses to the survey will not be binding, but institutions should note that the information will be very helpful to the REF team and panels in planning their work and especially to underpin the appointment of further full sub-panel members, and output and impact assessors. For this reason, HEIs are strongly encouraged to complete the survey with information that is as accurate as possible.
5. This guidance outlines the information required in the survey.
6. This guidance also provides advice on completing the survey of submission intentions for institutions making joint or multiple submissions. HEIs making joint or multiple submissions should read paragraphs 17-19 before entering information into the survey.

UOA information

7. For each unit of assessment (UOA) in which the institution intends to submit, the following details are required:
 - a. **Total number of CAT A submitted staff (headcount).**
 - b. **Total number of CAT A submitted staff (FTE).¹**
 - c. **Whether the HEI is involved in a joint submission** for this UOA and, if so, the other institutions involved in the joint submission. More information on joint submissions for the survey of submission intentions can be found in paragraph 17.
 - d. **The total number of outputs to be submitted.** The number of outputs should be equal to 2.5 times the combined FTE of Category A submitted

¹ HEIs should draw on their 2018-19 HESA return to provide this data, unless they expect the numbers to show significant differences between 2018-19 and 2019-20 (for example, where HEIs have not yet run processes to identify staff with significant responsibility for research). In these cases HEIs should provide an as accurate an estimate as possible of their 2019-20 return.

staff (how this number is reported may differ for HEIs making joint submissions, see paragraph 17). For the purposes of the survey, we do not require HEIs to adjust this estimate to account for any intended reduction requests due to staff circumstances.

- e. **The approximate proportion of submitted outputs that will be in each output collection format.** This is to help with planning for the assessment phase, for both the panels and the REF team. We understand that information may be tentative at this stage. The output collection formats are detailed in Table 1 below and are taken from [Annex K](#) of the 'Guidance on Submissions'. Please refer to Annex K for further information on each output collection type.
- f. **The approximate number of interdisciplinary research outputs** to be submitted. This is an estimate of the number of outputs that HEIs expect to identify in the submission as meeting the definition of interdisciplinary research. See [paragraph 273](#) of the 'Guidance on submissions' (REF 2019/01).
- g. **The approximate number of impact case studies to be submitted under each impact type**, along with a supporting statement. More information on impact in the survey of submission intentions can be found in paragraphs 8-13.
- h. **Further details about the research specialisms of the outputs to be submitted.** More information on research specialisms is in paragraphs 14-16.

Output collection format	Includes
Books	Authored book Edited book Scholarly edition
Parts of books	Chapter in book
Journal articles	Journal articles Conference contributions Working paper
Physical artefacts	Artefact Devices and products
Other documents	Patent/published patent application Composition Design Research report for external body Confidential report for external body
Digital artefacts	Software Website content Digital or visual media Research data sets and databases
Exhibitions and performances	Exhibition Performance
Other	Translation Other

Table 1 – Output collection formats

Impact

8. For each UOA in which they intend to submit, HEIs must estimate the approximate number of impact case studies that will be submitted in each of the impact areas outlined in the ‘Panel criteria and working methods’ (REF 2019/02, Annex A). We understand that information on impact case studies may be tentative at this stage. In the supporting statement for each impact area (paragraph 11), you can therefore provide further details on the certainty of the estimated number of case studies – for example, 1 likely, 1 possible but uncertain.
9. The impact areas, as outlined in the ‘Panel criteria and working methods’, are as follows:
 - a. Impacts on the health and wellbeing of people, and animal welfare
 - b. Impacts on creativity, culture and society
 - c. Impacts on social welfare
 - d. Impacts on commerce and the economy
 - e. Impacts on public policy, law and services
 - f. Impacts on practitioners and delivery of professional services, enhanced performance or ethical practice

- g. Impacts on production
 - h. Impacts on the environment
 - i. Impacts on understanding, learning and participation
10. Where individual case studies cover more than one impact area, the HEI should allocate the case study to whichever impact area they consider to be the best fit. HEIs may choose to outline in the supporting statements where there is likely to be overlap between impact areas for some case studies.
11. For each impact area in which they expect to submit case studies, HEIs must also provide a supporting statement (max 150 words per impact area). The statement should briefly describe, **for each case study** they expect to submit in that area:
- a. the type(s) of impact (for example, changes to guidelines, informing public debate)
 - b. the topic area(s) of the impact (for example, animal welfare, ageing).
12. The level of information provided in the statement should be sufficient to identify the kind of user and assessor expertise that will be required for the assessment of impact case studies. The statement should focus on the main areas of *impact* you intend to include in the submission, rather than providing details of the underpinning research.
13. We understand that information on impact case studies may be tentative at this stage. HEIs are encouraged to be as accurate as possible and not to overestimate the number of case studies, given that the information provided in the survey of submission intentions will facilitate the appointment of panel members and assessors for the assessment phase in REF 2021. Having accurate information will ensure that appropriate assessors are appointed according to the nature of the case studies expected.

Research specialisms

14. For each UOA that they intend to submit in, HEIs must add information about the research specialisms that will feature within submissions, including information on the approximate number of outputs to be submitted within each specialism. At a minimum, **all HEIs must add at least one research specialism for each UOA that they intend to submit in.** The maximum number of research specialisms that may be added varies by UOA (see Table 2 below – where no limit is stated for a UOA, HEIs may add as many research specialisms as required). HEIs should aim to be as accurate as possible in adding all intended research specialisms in order to aid the appointment of

appropriate members and assessors for the assessment phase of REF 2021. Further information about the research specialisms that may be used for each UOA can be found in Table 2 and Annex B.

15. For each research specialism, HEIs must provide the following information:
 - a. A title or description of the specialism, according to the guidance provided by the relevant sub-panel for the UOA in which the submission will be made (see Table 2 and Annex B).
 - b. The approximate total number of outputs that will be submitted in the specialism. **Where this is fewer than 10 outputs, enter the expected number. Where this is 10 or more outputs, enter the approximate number to the nearest five.**
 - c. The approximate number of outputs to be submitted in languages other than English, **by language**, and the approximate **total number** of outputs that will be submitted in languages other than English.
 - d. Number of outputs for which cross-referral requests are intended, and the relevant UOA(s).

16. We understand that information may be tentative at this stage. However, **HEIs are encouraged to estimate the number of outputs to be submitted in each research specialism as accurately as possible.** HEIs are strongly encouraged not to overestimate the number of outputs to be submitted in each research specialism. The information provided will be used in appointing sufficient panel members and assessors with the requisite expertise for the assessment phase in REF 2021. Having accurate information will ensure that appropriate assessors are appointed according to the volume of outputs expected within each specialism. Overestimation may lead to necessary expertise being under-recruited for other research specialisms within a UOA.

Joint submissions

17. Institutions making a joint submission in a UOA should adhere to the following guidance when completing the survey of submission intentions:
 - a. When entering information on CAT A submitted staff headcounts and FTEs for a UOA, each HEI involved in the joint submission should enter information as it pertains to the staff employed at their institution.
 - b. Information on outputs (including research specialisms) and impact case studies may be entered by one HEI on behalf of joint submission partners, or a proportion of these may be entered by each HEI involved in the joint submission. In either case, all HEIs involved in the joint submission should liaise with each other before entering information to ensure there is only one set of information provided for that submission

(i.e. there should not be any repetition of the output types, research specialisms or impact areas expected to be submitted).

Multiple submissions

18. Where an HEI is planning, or has been authorised, to return multiple submissions in a UOA, a single return to the survey should be made, providing data for all submissions in that UOA combined. This includes where an HEI is making both a joint submission and a multiple submission in a UOA.
19. HEIs making multiple submissions should indicate this in the supporting information for impact, to account for the difference in number of impact case studies that would be required.

Table 2: Sub-panel requirements for research specialisms

UOA	Requirements
1 – Clinical Medicine	<p>Refer to the list of research specialisms in Annex B.</p> <p>Only one option from the list should be selected per new research specialism created, as most appropriately describes the primary focus of the research to be submitted. Please enter a name for ‘other’ specialisms, which may include research centres/institutes. You may enter multiple ‘other’ specialisms overall.</p>
2 – Public Health, Health Services and Primary Care	<p>Refer to the list of research specialisms in Annex B.</p> <p>Only one option from the list should be selected per new research specialism created, as most appropriately describes the primary focus of the research to be submitted. Please enter a name for ‘other’ specialisms. You may enter multiple ‘other’ specialisms overall.</p>
3 – Allied Health Professions, Dentistry, Nursing and Pharmacy	<p>Refer to the list of research specialisms in Annex B.</p> <p>Only one option from the list should be selected per new research specialism created, as most appropriately describes the primary focus of the research to be submitted. Please enter a name for ‘other’ specialisms. You may enter multiple ‘other’ specialisms overall.</p>
4 – Psychology, Psychiatry and Neuroscience	<p>Refer to the list of research specialisms in Annex B.</p> <p>Only one option from the list should be selected per new research specialism created, as most appropriately describes the primary focus of the research to be submitted. Please enter a name for ‘other’ specialisms. You may enter multiple ‘other’ specialisms overall.</p>
5 – Biological Sciences	<p>Refer to the list of research specialisms in Annex B.</p> <p>Only one option from the list should be selected per new research specialism created, as most appropriately describes the primary focus of the research to be submitted.</p>

<p>6 – Agriculture, Food and Veterinary Sciences</p>	<p>Refer to the list of research specialisms in Annex B.</p> <p>Only one option from the list should be selected per new research specialism created, as most appropriately describes the primary focus of the research to be submitted. Please enter a name for ‘other’ specialisms. You may enter multiple ‘other’ specialisms overall.</p> <p>Please do not use the headings in bold text in Annex B as descriptors for research specialisms as these are for the purposes of grouping the research specialisms only.</p>
<p>7 – Earth Systems and Environmental Sciences</p>	<p>Refer to the list of research specialisms in Annex B.</p> <p>Only one option from the list should be selected per new research specialism created, as most appropriately describes the primary focus of the research to be submitted. Please enter a name for ‘other’ specialisms. You may enter multiple ‘other’ specialisms overall.</p>
<p>8 - Chemistry</p>	<p>Refer to the list of research specialisms in Annex B.</p> <p>Only one option from the list should be selected per new research specialism created, as most appropriately describes the primary focus of the research to be submitted. Please enter a name for ‘other’ specialisms (max ten words). You may enter multiple ‘other’ specialisms overall.</p>
<p>9 - Physics</p>	<p>Use research specialisms as defined by the HEI. These should be defined in sufficient detail for the sub-panel to be able to determine expertise requirements.</p>
<p>10 – Mathematical Sciences</p>	<p>Refer to the list of research specialisms in Annex B.</p> <p>Only one option from the list should be selected per new research specialism created, as most appropriately describes the primary focus of the research to be submitted. Please enter a name for ‘other’ specialisms. You may enter multiple ‘other’ specialisms overall.</p>
<p>11 – Computer Science and Informatics</p>	<p>Refer to the list of research specialisms in Annex B.</p>

	<p>Only one option from the ‘research specialisms’ should be selected per new research specialism created, as most appropriately describes the primary focus of the research to be submitted. The information contained in the ‘specialism information’ column is for information only, in order to provide a fuller description of each specialism. Information in this column should not be entered into the survey.</p>
12 - Engineering	<p>Use the research specialisms as listed in the UOA descriptor in paragraphs 86-87 of the ‘Panel criteria and working methods’ (REF 2019/02).</p>
13 – Architecture, Built Environment and Planning	<p>Refer to the list of research specialisms in Annex B.</p> <p>Only one option from the ‘research specialisms’ column should be selected per new research specialism created, as most appropriately describes the primary focus of the research to be submitted. Please enter a name for ‘other’ specialisms. You may enter multiple ‘other’ specialisms overall.</p> <p>Please note, information provided in the ‘further information column’ in Annex B is provided to enable HEIs to understand the remit of each specialism and does not need to be entered into the survey.</p>
14 – Geography and Environmental Studies	<p>Use the research specialisms as listed in the UOA descriptor in paragraphs 93-96 of the ‘Panel criteria and working methods’ (REF 2019/02).</p> <p>Only where appropriate, you may describe up to five additional specialisms as defined by the HEI where the research does not map onto the UOA descriptor.</p>
15 - Archaeology	<p>Refer to the list of research specialisms in Annex B.</p> <p>Only one option from the list should be selected per new research specialism created, as most appropriately describes the primary focus of the research to be submitted. Please enter a name for ‘other’ specialisms. You may enter multiple ‘other’ specialisms overall.</p>

16 – Economics and Econometrics	Use research specialisms as defined by the HEI. These should be defined in sufficient detail for the sub-panel to be able to determine expertise requirements.
17 – Business and Management Studies	Use the research specialisms as listed in the UOA descriptor in paragraphs 101-103 of the ‘Panel criteria and working methods’ (REF 2019/02). You may enter multiple additional specialisms as defined by the HEI where the research does not map onto the UOA descriptor.
18 - Law	HEIs should identify a maximum of ten areas of legal research likely to make up their submission. HEIs should refer to the research specialisms as listed in the UOA descriptor in paragraphs 104-106 of the ‘Panel criteria and working methods’ (REF 2019/02) to inform selection of research specialisms. Specialisms can include specification of subject areas (e.g. criminal law) and/or methodological approach (e.g. empirical, doctrinal etc.).
19 – Politics and International Studies	Use research specialisms as defined by the HEI. These should be defined in sufficient detail for the sub-panel to be able to determine expertise requirements. Refer to the research specialisms as listed in the UOA descriptor in paragraphs 107-108 of the ‘Panel criteria and working methods’ (REF 2019/02) to inform selection of research specialisms. HEIs may enter a maximum of ten research specialisms.
20 – Social Work and Social Policy	<p>Refer to the list of research specialisms in Annex B.</p> <p>Only one option from the list should be selected per new research specialism created, as most appropriately describes the primary focus of the research to be submitted. Please enter a name for ‘other’ specialisms. You may enter multiple ‘other’ specialisms overall.</p> <p>HEIs are encouraged to consult the research specialisms as listed in the UOA descriptor in paragraphs 109-112 of the ‘Panel criteria and working methods’ (REF 2019/02) in addition to the list provided in Annex B.</p>

	Please do not use the headings in bold text in Annex B as descriptors for research specialisms as these are for the purposes of grouping the research specialisms only.
21 - Sociology	Use research specialisms as defined by the HEI. These should be defined in sufficient detail for the sub-panel to be able to determine expertise requirements.
22 – Anthropology and Development Studies	Enter a maximum of 15 areas of research in Anthropology or International Development that are likely to make up the submission. These can include any research specialisms as listed in the UOA descriptor in paragraphs 119-121 of the ‘Panel criteria and working methods’ (REF 2019/02), and/or others not already covered in the UOA descriptor (e.g. infrastructure, history of development), and/or geographical region (e.g. East Africa, South Asia).
23 - Education	Enter a maximum of 15 research specialisms. Use the research specialisms as listed in the UOA descriptor in paragraphs 122-124 of the ‘Panel criteria and working methods’ (REF 2019/02). Only where appropriate , you may describe a maximum of two of the 15 research specialisms using HEI-defined specialisms where the research does not map onto the UOA descriptor.
24 – Sport and Exercise Sciences, Leisure and Tourism	Use the research specialisms as listed in the UOA descriptor in paragraphs 125-126 of the ‘Panel criteria and working methods’ (REF 2019/02). You may enter multiple additional specialisms as defined by the HEI where the research does not map onto the UOA descriptor.
25 – Area Studies	Refer to the list of research specialisms in Annex B. Enter a maximum of one option from each heading in the ‘research specialisms’ column, as most appropriately describes the primary focus of the research to be submitted. HEIs should normally use no more than four words overall to describe each research specialism. HEIs should prioritise using descriptors from the Geographical designations, Period of research and (where relevant) Field and Sub-field headings.

	<p>The information provided in the 'further information' column is for information only and should not be entered into the survey.</p> <p>Please enter a name for 'other' specialisms. You may enter multiple 'other' specialisms overall.</p> <p>Please do not use the headings in bold text in Annex B as descriptors for research specialisms as these are for the purposes of grouping the research specialisms only.</p> <p>HEIs are encouraged not to describe specialisms too narrowly in order to aid recruitment of panel members for the assessment phase of REF 2021.</p>
<p>26 – Modern Languages and Linguistics</p>	<p>Refer to the list of research specialisms in Annex B.</p> <p>For each research specialism enter one option from the 'Main subject field' column and one option from the 'Research specialisms' column. Please enter a name for 'other' specialisms. You may enter multiple 'other' specialisms overall. Please note, you may use the 'other' option in the 'Main subject field' to capture subject areas not stipulated in the UOA descriptor in paragraph 133 of the 'Panel criteria and working methods', but that form part of the more broad and inclusive purview of the UOA as signalled in paragraph 134, in particular relating to non-European languages, literatures, cultures and societies.</p> <p>For each research specialism created, please provide further details if outputs are to be submitted written in languages beyond the remit of the UOA as presented in its descriptor in paragraphs 133-135 of the 'Panel criteria and working methods' (REF 2019/02) – that is they are not published in Celtic, Slavonic, Germanic and Romance languages.</p>
<p>27 – English Literature and Language</p>	<p>Refer to the list of research specialisms in Annex B.</p> <p>Only one option from the list should be selected per new research specialism created, as most appropriately describes the primary focus of the research to be submitted. Please enter a name for 'other' specialisms. You may enter multiple 'other' specialisms overall.</p>

28 - History	Use research specialisms as defined by the HEI. These should be defined in sufficient detail for the sub-panel to be able to determine expertise requirements. To the extent that it is feasible, please include information on nation/region of focus (if any), chronological period of focus (if any), and sub-field/methodology. You may wish to refer to the research specialisms as listed in the UOA descriptor in paragraphs 139-142 of the 'Panel criteria and working methods' (REF 2019/02).
29 - Classics	Refer to the list of research specialisms in Annex B. Only one option from the list should be selected per new research specialism created, as most appropriately describes the primary focus of the research to be submitted. Please enter a name for 'other' specialisms. You may enter multiple 'other' specialisms overall.
30 - Philosophy	Refer to the list of research specialisms in Annex B. Only one option from the list should be selected per new research specialism created, as most appropriately describes the primary focus of the research to be submitted. Please enter a name for 'other' specialisms. You may enter multiple 'other' specialisms overall. Where the specialism selected indicates that further specification is needed, please also enter further details. No further information is needed for research specialisms that do not state 'please specify'.
31 – Theology and Religious Studies	Refer to the list of research specialisms in Annex B. Only one option from the list should be selected per new research specialism created, as most appropriately describes the primary focus of the research to be submitted. Please enter a name for 'other' specialisms. You may enter multiple 'other' specialisms overall.
32 – Art and Design: History, Practice and Theory	Use research specialisms as defined by the HEI. These should be defined in sufficient detail for the sub-panel to be able to determine expertise requirements.

<p>33 – Music, Drama, Dance, Performing Arts, Film and Screen Studies</p>	<p>Refer to the list of research specialisms in Annex B.</p> <p>Only one option from the ‘research specialisms’ column should be selected per new research specialism created, as most appropriately describes the primary focus of the research to be submitted. Please enter a name for ‘other’ specialisms. You may enter multiple ‘other’ specialisms overall. The information provided in the ‘further information’ column is for information only and should not be entered into the survey.</p> <p>The sub-panel recognises that many outputs will bridge multiple categories, take other forms, or may be interdisciplinary in nature. The sub-panel welcomes the submission of such work. HEIs are requested to indicate ‘best fit’, even where it is approximate.</p> <p>Please do not use the headings in bold text in Annex B as descriptors for research specialisms as these are for the purposes of grouping the research specialisms only.</p>
<p>34 – Communication, Cultural and Media Studies, Library and Information Management</p>	<p>Refer to the list of research specialisms in Annex B.</p> <p>Only one option from the list should be selected per new research specialism created, as most appropriately describes the primary focus of the research to be submitted. Please enter a name for ‘other’ specialisms. You may enter multiple ‘other’ specialisms overall.</p> <p>Please do not use the headings in bold text in Annex B as descriptors for research specialisms as these are for the purposes of grouping the research specialisms only.</p>