

# REF 2021 Privacy Notice for Staff

The University of Worcester is the “Data Controller” of your personal data. We are committed to upholding individuals’ privacy rights and we process personal data in accordance with the Data Protection Act 2018 and the General Data Protection Regulation 2016 (“GDPR”). This privacy notice is to let you know how we use personal data that is submitted to the Research Excellence Framework (REF).

## **Why are we collecting the data?**

Under the GDPR we have to have justification (“lawful basis”) for obtaining your information and for Staff we believe this is:

### ***Contract***

The legal basis for this is your contract of employment.

For special category personal data, we will only process this without your permission when we have the legal authority to do so or where we have an obligation to do so, for example, under Schedule 1, Part 1, of the Data Protection Act 2018.

### ***Public Task***

To ensure that we can carry out our role as an educational and research establishment, meeting legal, moral and contractual obligations, as laid out in the University’s Charter.

## **How do we use the information?**

The purpose of the Research Excellence Framework 2021 (REF 2021) is to assess the quality of UK research and to inform the selective distribution of public funds for research by the four UK higher education funding bodies. The REF is managed by the REF team, based at Research England (RE), on behalf of the four UK higher education funding bodies. RE is part of UK Research and Innovation (UKRI), and under this arrangement UKRI has the role of ‘data controller’ for personal data submitted by us to the REF.

If you are a researcher who has been included as part of our submission to the REF 2021, in 2021 we will send some of the information we hold about you to UKRI for the purpose of the REF 2021. The information will not be in coded form and your name and details such as your date of birth, Open Researcher and Contributor ID (ORCID), research groups, and contract dates will be provided along with details of your research. If you have declared individual circumstances and a request is made to allow a reduction in the number of outputs submitted, without penalty, some details of your personal circumstances will be provided.

You can find further information about what data are being collected on the REF website, at [www.ref.ac.uk](http://www.ref.ac.uk) in particular publication 2019/01, ‘Guidance on submissions’.

## **What data do we collect?**

We will collect and use the following categories of data for our REF 2021 submission:

### ***Data held about you by the University as your employer***

As employees or former employees of the University, we will use the following data which we have collected during your period of employment with us:

- name, date of birth, ORCID and HESA identifier;
- equality and diversity data and early career researcher status;

- information about contract type, duration and FTE, and where we need to determine Early Career Researcher status then we may also access details you provided when you applied for your role (e.g. cv);
- research area ('Unit of Assessment') and research group;
- details of activities and achievements, including but not limited to: research publications (including author contributions); research funding awards and applications.

### ***Data you provide to us***

As a current employee of the University you may wish to submit additional data concerning your personal circumstances (through our staff circumstances declaration process, see Part 4 of our REF Code of Practice) and this may include details of circumstances that have affected your productivity throughout the REF period, including but not limited to:

- qualifying as an Early Career Researcher;
- absence from work as a result of secondments / career breaks outside the HE sector;
- periods of family-related leave;
- disability (including chronic conditions);
- ill health, injury or mental health conditions;
- constraints relating to family leave that fall outside of the standard allowances;
- caring responsibilities;
- gender reassignment; and
- Other circumstances relating to characteristics protected by the Equality Act 2010, or relating to activities protected by employment legislation.

### **Who do we share information with?**

Your data will be shared internally with staff who need to view it as part of their role in preparing the REF 2021 submission. This will include staff in Human Resources, the Research Office, REF UoA Coordinators and members of the REF Equality, Diversity & Inclusion Panel.

Your data will be shared externally with UKRI. UKRI may pass your data, or parts of it, to any of the following organisations that need it to inform the selective distribution of public funds for research and to carry out their statutory functions connected with funding higher education:

- Department for the Economy, Northern Ireland (DfE)
- Higher Education Funding Council for Wales (HEFCW)
- Scottish Funding Council (SFC).

UKRI and the organisations listed above will use the information to analyse and monitor the REF 2021. This may result in information being released to other users including academic researchers or consultants (commissioned by the funding bodies), to carry out research or analysis, in accordance with the Data Protection Act 2018 and the General Data Protection Regulation (GDPR) (Regulation (EU) 2016/679). Where information not previously published is released to third parties, this will be anonymised where practicable.

UKRI will require that anyone who has access to your data, held in UKRI's records, paper or electronic, will respect its confidentiality and will only process it in accordance with instructions issued for the purposes specified by UKRI.

Parts of your data will be passed to the REF expert panels and the Equality and Diversity Advisory Panel (whose members are independent of UKRI) for the purpose of conducting a

systematic evaluation of submissions, in accordance with predetermined criteria and methods. Panels will make judgments about the material contained in submissions and will not form quality judgments about individuals. All panel members are bound by confidentiality arrangements.

### **Publishing information about your part in our submission**

The results of the assessment exercise will be published by UKRI, on behalf of the four UK higher education funding bodies, in April 2022. The published results will not be based on individual performance nor identify individuals.

Those parts of submissions that contain factual data and textual information about research activity will also be published by UKRI, on behalf of the four UK higher education funding bodies, and will be made available online. Published information is likely to include **textual information including impact case studies in which you may be referenced**. Your name, job title and periods of employment may be included in this textual information. Other personal and contractual details, including your date of birth and all information about individual staff circumstances will be removed.

Unless redacted, the information to be published by UKRI, on behalf of the four UK higher education funding bodies, will include a single list of all the outputs submitted by us in each Unit of assessment. The list of outputs will include standard bibliographic data for each output, but will not be listed by author name.

### **Data about personal circumstances**

You may voluntarily declare personal circumstances to your submitting unit, which could permit us to submit your information to the REF without the 'minimum of one' output requirement (without penalty), or to submit a reduced number of outputs without penalty. If (and only if) we apply either form of reduction of outputs, we will need to provide UKRI with individual-level data that you have declared about your individual circumstances, to show that the criteria have been met for reducing the number of outputs. Please see the 'Guidance on submissions' document (paragraphs 151-201) for more detail about reductions in outputs and what information needs to be submitted.

Submitted data will be kept confidential to the REF team, the Equalities and Diversity Advisory Panel, and main panel chairs. All these bodies are subject to confidentiality arrangements. The REF team will destroy the submitted data about individuals' circumstances on completion of the assessment phase.

We will send to Research England a report that will include a summary of all voluntarily declared personal circumstances, whether or not they were used to reduce the output requirements. This report will only contain data in aggregated form and will not contain information that will identify individual members of staff.

### **How long do we keep your data for?**

We will retain your data to support the University's REF 2021 submission and this will include any legal, accounting, or reporting requirements. Specifically, we will retain all data used in the development of the REF submission until completion of the REF audit process, and will retain a copy of the staff, outputs, impact and environment submission after submission, in order to facilitate future REF submissions.

Data is retained for as long as it is required to perform its purpose, or for as long as is required by law. At the end of that retention period, your data will either be deleted completely or anonymised, for example by aggregation with other data so that it can be used in a non-identifiable way for statistical analysis and business planning.

## **Accessing your personal data**

Under the Data Protection Act 2018 and the GDPR, you have the right to request a copy of any personal information held by the University. Please visit <https://www2.worc.ac.uk/informationassurance/requests-for-personal-data.html> for further information on this.

We have appointed a Data Protection Officer, Helen Johnstone, who may be contacted by email: [infoassurance@worc.ac.uk](mailto:infoassurance@worc.ac.uk).

You also have the right to access information held by UKRI. Further information about the Act and GDPR, and guidance on making a subject access request, can be found on the RE website at <https://re.ukri.org/about-us/policies-standards/foi-data-protection/>

If you have any concerns about your information being used for these purposes, please contact:

Data Protection Officer  
UK Research and Innovation  
Polaris House  
Swindon, SN2 1FL

Email: [dataprotection@ukri.org](mailto:dataprotection@ukri.org)

Further guidance on your rights is available from the Information Commissioner's Office (<https://ico.org.uk/>). You have the right to complain to the UK's supervisory office for data protection, the Information Commissioner's Office at <https://ico.org.uk/concerns/> if you believe that your data has been processed unlawfully.