

Newcastle University

Privacy Notice for Submissions for the Research Excellence Framework (REF)

The information we process

For the purposes of participating in the REF, Newcastle University processes information relating to past and present research staff.

1. Current University employees (employed during the REF assessment period) who are considered to be REF-eligible (Category A eligible), this includes individuals with a primary employment function of “Teaching & Research” and “Research only”. It may also include employees who are research active but not currently on an eligible contract.
2. Former University employees (employed during the REF assessment period) who were REF-eligible at the time of ceasing employment and who have research outputs that were generated while they were employed at the University during the REF assessment period
3. Individuals who are not employed by the University but whose contract or job role includes the undertaking of research primarily focused at the University during the REF assessment period.
4. Individuals who are not employed by the University but who have provided testimonials concerning the development of impact case studies in relation to the University’s preparations for the REF 2021 exercise

The legal basis for this processing is legitimate interest. The categories of information we process are:

- HESA staff identifier and staff number
- Name (initials and surname)
- Date of Birth
- Open researcher and contributor ID (ORCID) (where held).
- Job title/position
- Grade
- Contracted hours/FTE.
- Research connection if a person’s FTE is 0.2 to 0.29
- Information about contract type and any secondments/periods of unpaid leave, including dates.
- Whether any personal data should be omitted from the published data for specific reasons, such as commercial sensitivity or security.
- If the person is an Early Career Researcher (ECR) the date of commencement of ECR status and information in relation to this

Special category information

The University will also process Special Category information for which the legal basis will be the substantial public interest; and archive, statistical and research purposes (monitoring equal opportunities). The following information will only be processed if it is voluntarily supplied by you:

- For Junior Clinical academics, information relating to their clinical training progression
- Disability status
- Information about any ill health, injury or mental health conditions.
- Information about any maternity, paternity, adoption/surrogacy, shared parental leave and time off for dependants including dates.
- Information about other caring responsibilities
- Information about protected characteristics including: age, sex/gender, gender reassignment, marriage and civil partnership, pregnancy, maternity, race, ethnic origin, religion or religious beliefs and sexual orientation.

How we obtain the information

We get information from you, University documents and systems and from third parties including research users.

How long we keep it for

The University will destroy the data about individuals' circumstances within one month of the publication of the REF 2021 results. Within environment statements and case studies we may use names and job titles but no other personal information will be used. The environment statements and case studies will be published as part of the REF submission. All other personal information collected as part of the REF exercise will be retained for a maximum of seven years.

Who we share it with

The purpose of the Research Excellence Framework 2021 (REF2021) 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 the University to the REF.

If you are a researcher who has been included as part of our submission to the REF 2021, in 2020 we will send some of the information we hold about you to UKRI for the purpose of the REF2021. The information will not be in coded form and your name and details such as your date of birth, research groups, and contract dates will be provided along with details of your research. If you are submitted with individual circumstances that 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 in particular publication 2019/01, 'Guidance on submissions'.

Data about personal circumstances

You may voluntarily disclose personal circumstances to your submitting unit, which could permit the University to submit your information to the REF without the 'minimum of one' 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 data that you have disclosed 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 University's Code of Practice details how staff circumstances will be handled. The REF team will destroy the submitted data about individuals' circumstances on completion of the assessment phase.

As set out above, 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 the University. The list of outputs will include standard bibliographic data (including the author name) for each output, but will not be listed by author name.

Your rights

Under the Data Protection Act 2018 and the GDPR, you have the right to see and receive a copy of any personal information that the University holds about you, as well as other rights. More information can be found from the University's intranet pages:

<https://newcastle.sharepoint.com/hub/ig/Pages/GDPR.aspx>

or by contacting:

Data Protection Officer: Maureen Wilkinson, Email: rec-man@ncl.ac.uk

The same rights apply to the information the UKRI holds about you. Further information about the Act and GRPR, and guidance on making a subject access request, can be found on the RE web-site 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

This privacy notice should be read in conjunction with the University's Data Protection Policy and staff privacy notice available at:

<https://www.ncl.ac.uk/media/wwwnclacuk/jobvacancies/files/hr-privacy-notice-20180517-hc.pdf>