



## Staff Data Collection Statement (Privacy Notice) for the REF 2021

This notice applies to current staff of Bournemouth University (BU) and to former BU staff of BU where we include you in our REF submission in relation to outputs produced during your time at BU.

### About the REF

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.

This statement explains how your personal data will be processed by Bournemouth University (BU) as part of the REF 2021 process. Most of the wording was provided by the REF team, but BU has added some additional information about how we process your data to prepare our REF submission.

### Processing by BU to prepare, evaluate and make our REF submission

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 REF 2021. 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 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 also be provided to UKRI (further information on this is provided below).

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

As part of the work to prepare our submission to the REF 2021 and monitor whether we are complying with our duties under the Equality Act 2010, we may use your data to carry out analysis of the personal characteristics of our staff who are eligible for inclusion in our REF submission. This processing is carried out on the same basis as other equal opportunities monitoring and analysis undertaken at BU. The results of this analysis will be in statistical format and will not be used to take decisions about you as an individual. Where BU processes identifiable information about your personal characteristics or individual circumstances as described in this Notice, it is treated confidentially within BU and stored securely. Access is strictly limited to staff who require access in order to prepare BU's REF submission and carry out associated analysis.

### Processing by UKRI and others: Sharing information about you

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).

Some of your data (Unit of Assessment, HESA staff identifier code and date of birth) will also be passed to the Higher Education Statistics Agency (HESA) to enable it to verify coded data returned to it as part of our HESA staff return (see [www.hesa.ac.uk](http://www.hesa.ac.uk)). Data returned to the REF will be linked to that held on the HESA staff record to allow UKRI and the organisations listed above to conduct additional analysis into the REF

and fulfil their statutory duties under the Equality Act 2010 (England, Wales and Scotland) or the Northern Ireland Act 1998 (Northern Ireland).

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 December 2021. 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, periods of employment and status as an Early Career Researcher (if applicable) may be included in this textual information. All other personal and contractual details, including your date of birth and information about individual staff circumstances will be removed.

All authors of textual information such as impact case studies and environment statements have been advised not to include personal information in these parts of the submission, except for names and job titles. All textual information will be checked by BU's Research Development & Support team prior to submission, and where possible we will remove (edit out) any other personal and contractual details which have been included despite this guidance. If it is not possible to remove such personal information through editing the text, we will redact it (i.e. blank it out within the text).

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. This can be done using a Staff Disclosure Form. If (and only if) we decided to apply either form of reduction of outputs in relation to you, 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. The data returned via the Staff Disclosure Form will be used to complete the REF6a/b forms by Human Resources working in conjunction with the relevant UOA Leader and, where necessary, the individual. The process will be managed centrally by Human Resources. Any information disclosed via a Staff Disclosure Form will be handled confidentially.

Please see the 'Guidance on submissions' document (paragraphs 151-201) for more detail from the REF team about reductions in outputs and what information needs to be submitted. Further information on BU's

process for declaring staff circumstances can be found on the BU Research Blog <https://blogs.bournemouth.ac.uk/research/ref/ref-2021-staff-circumstances/>.

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.

### **Accessing your personal data and your rights in relation to UKRI**

Under the Data Protection Act 2018 and the GDPR, you have the right to request a copy of any personal information that UKRI holds about you. Further information about the Act and GDPR, 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](mailto:dataprotection@ukri.org)

### **Further information from BU: legal basis and your individual rights**

BU has identified the following as the legal basis for the processing of personal data described in this Notice:

- Necessary for tasks carried out in the public interest or in the exercise of official authority [Article 6.1(e) of the GDPR]. This includes:
  - BU's "public task" as a university: research is a core part of our function as a university. Processing your data is necessary for us to participate in REF 2021, which enables us to achieve appropriate recognition and public awareness of the research we undertake and increase our research income. This in turn enables us to maintain and develop our research reputation, and the quality and volume of our research activity in the future.
  - UKRI's "public tasks" as defined in the Higher Education and Research Act 2017.
- BU's legitimate interests in maximising its research income and maintaining/ developing its research reputation.
- In addition, UKRI's privacy notice states that some processing of staff data for REF purposes is necessary for a legal obligation on UKRI [Article 6.1(c) of the GDPR]  
(<https://www.ref.ac.uk/guidance/data-management-guidance/fair-processing-notice-for-staff-submitted-to-ref-2021/>)

We provide the information in accordance with the REF requirements, criteria and guidance on the basis that UKRI regards this information as necessary for their purposes in carrying out the REF

Special category data is more sensitive information about matters such as health/disability and ethnicity. This is processed by BU and UKRI as described above for the purposes of equal opportunities

monitoring/Equality Act duties (including through linking to your HESA data record). If relevant this type of data may also be processed for the purposes of considering individual circumstances. Additional justification is required for processing of this type of data. BU has identified the additional legal basis for processing this data as being that the processing is necessary for:

- scientific or historical research purposes or statistical purposes [Article 9.2(j) of the GDPR] (as referred to by UKRI in its privacy notice); and/or
- reasons of substantial public interests, i.e. monitoring equality of opportunity and treatment of people on the basis of certain personal characteristics [Article 9.2(g) of the GDPR and paragraph 8 of Schedule 1 to the Data Protection Act 2018]

Further information about how BU manages staff personal data is set out in our Staff Privacy Notice:

<https://www.bournemouth.ac.uk/about/governance/access-information/data-protection-privacy/staff-applicants-privacy-notice> This notice also provides information about your individual data rights in relation to BU, how to raise any concerns about BU's management of your data and how to contact BU's Data Protection Officer.