

## Abertay University REF 2021 Privacy Notice

### Document Information

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This REF 2021 Privacy Notice is relevant to the following groups of individuals:

1. Current Abertay 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 may include staff with a primary employment function of “Research only” (see Table 1).
2. Former Abertay 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 (see Table 2).
3. 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 (see Table 3).

The REF 2021 Privacy Notice explains what personal information the University holds about you in relation to the REF 2021 exercise, detailing why we hold this information, what we do with it, how long we keep it for and if we share it with third parties. “Personal information” means any piece of information which can identify you. It can be a single piece of information, for example, your name, or it can be separate pieces of information, for example, your School, gender and grade, which, when combined, would help others identify you.

We collect and use your personal information for the purpose of the REF 2021 exercise, principally to ensure that the University meets the validation requirements for the submission for REF 2021. For example, REF 2021 require the University provide key information about current staff being submitted by the University to the exercise. We also use this information to undertake equality impact assessments to help inform our decision making processes in relation to current and future research assessments.

The tables below describe the information we hold and what we need it for. They also explain the basis we can legally rely on to request and retain information about you. In the main, legal basis will be described as “the University’s legitimate interest”. This means we need the information to ensure that the University can participate fully in the REF 2021 process, the purpose of which is to:

- provide accountability for public investment in research and produce evidence of the benefits of this investment;
- provide benchmarking information and establish reputational yardsticks, for use within the higher education sector and for public information;
- and, to inform the selective allocation of funding for research

We get information from you, University documents, or from third parties including research users. We will keep your personal data for no longer than necessary. The [HR Employee Privacy Notice](#) provides further information on the kinds of personal data we collect and how this data is handled.

The team within the University making the submission to REF 2021 obtains the required personal data of staff from HR and the PURE system. While the retention periods for these data are determined by how long the individual is in the employment of the University, the REF Team will dispose of all personal data for current and former staff, as well as for individuals who have provided testimonials, no later than the end of December 2022. Note that for former staff this may be longer than the standard retention period for personal data.

We share categories of your personal data with REF 2021 to meet the validation requirements of the submission. Other third parties we share your data with are listed in Table 4 below. In these circumstances,

we will only share your data if we are required to do so by law, you ask us to do so, or we are contractually obliged to do so. We do not use automated decision-making processes.

**Additional information:**

- HR Employee Privacy Notice: <https://www.abertay.ac.uk/legal/hr-employee-privacy-notice/>
- Further information about REF 2021: [www.ref.ac.uk](http://www.ref.ac.uk).
- Abertay Data Protection Policy: <https://www.abertay.ac.uk/media/6633/data-protection-policy.pdf>

**Definitions:**

**REF** = Research Excellence Framework, the system for assessing the quality of research in UK higher education institutions

**REF Assessment Period** = 1 August 2013 to 31 July 2020

**Category A Eligible/Submitted Staff** = Staff defined as academic staff with a contract of employment of 0.2 FTE or greater, on the payroll of the submitting institution on the census date, whose primary employment function is to undertake either “Research only” or “Teaching & Research”. Staff should have a substantive connection with the submitting unit. Staff with a primary employment function of “Research only” should meet the REF 2021 definition of an independent researcher.

**ECR** = Early Career Researcher. In REF terms this means members of staff who meet the definition of Category A Eligible on the census date, and who started their careers as independent researchers on or after 1 August 2016.

**Table 1: Personal data of current Category A Eligible/Submitted staff required for the REF 2021 process.**

| <i>The personal information the University holds</i>         | <i>What the University needs it for</i>  | <i>Why the University processes it (i.e. the legal basis, and specific condition (where relevant))</i> |
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| HESA staff identifier and/or staff number and date of birth. | To assist with the University’s REF 2021 preparations. Data required by REF 2021 for all Category A Submitted staff on form REF1a. <b>Data will be submitted to REF as part of the University’s submission, November 2020.</b>   | The University’s legitimate interest.  |
| Staff date of birth.   | To assist with the University’s REF 2021 preparations. Data required by REF 2021 for all Category A Submitted staff on form REF1a. <b>Data will be submitted to REF as part of the University’s submission, November 2020.</b>   | The University’s legitimate interest.  |
| Name (initials and surname).                                 | To assist with the University’s REF 2021 preparations. Data required for all Category A submitted staff on form REF1a form (REF 2021 “Information on Category A Submitted staff in post on the census date (31 July 2020)”). <b>Data will be submitted to REF as part of the University’s submission, November 2020.</b> | The University’s legitimate interest.  |
| Open researcher and contributor ID (ORCID) (where held).     | To assist with the University’s REF 2021 preparations. Data required by REF 2021 for all Category A Submitted staff on form REF1a. <b>Data will be submitted to REF as part of the University’s submission, November 2020.</b>   | The University’s legitimate interest.  |
| Job title/position   | To assist with the University’s REF 2021 preparations. Data required to assist in the determination and proof of Category A Eligible staff for inclusion in the REF 2021 exercise. <b>Data will only be shared with REF if required to do so on auditing.</b>  | The University’s legitimate interest.  |

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| Grade   | To assist with the University's REF 2021 preparations.<br>Data required to assist in the determination and proof of Category A Eligible staff for inclusion in the REF 2021 exercise. <b>Data will only be shared with REF if required to do so on auditing.</b>           | The University's legitimate interest.   |
| Contracted hours/FTE.   | To assist with the University's REF 2021 preparations.<br>Data required by REF 2021 for all Category A submitted staff on form REF1a. <b>Data will be submitted to REF as part of the University's submission, November 2020.</b>  | The University's legitimate interest.   |
| Information about contract type and any secondments/ periods of unpaid leave, including dates.  | To assist with the University's REF 2021 preparations.<br>Data required by REF 2021 for all Category A submitted staff on form REF1a. <b>Data will be submitted to REF as part of the University's submission, November 2020.</b>  | The University's legitimate interest.   |
| Information about staff workload plans.   | To assist with the University's REF 2021 preparations.<br>Data required to assist in the determination and proof of Category A Eligible/Submitted staff for inclusion in the REF 2021 exercise. <b>Data will only be shared with REF if required to do so on auditing.</b> | The University's legitimate interest.   |
| Information about internal and external assessment of output.   | To assist with the University's REF 2021 preparations.<br>Data required to assist in the determination of output to be submitted by the University. <b>Data will only be shared with REF if required to do so on auditing.</b>   | The University's legitimate interest.   |
| Whether any personal data should be omitted from the published data for specific reasons, such as commercial sensitivity or security.                                       | To assist with the University's REF 2021 preparations.<br>Data required by REF 2021 for all Category A submitted staff on form REF1a. <b>Data will be submitted to REF as part of the University's submission, November 2020.</b>  | The University's legitimate interest.   |
| If ECR, date of commencement of ECR status.   | To identify occurrence of special circumstances to facilitate associated reduction of outputs to a submitting unit of assessment. <b>Data will only be shared with REF if required to do so on auditing.</b>   | The University's legitimate interest.   |
| Information about maternity leave, adoption/surrogacy leave, paternity leave, shared parental leave, time off for dependants within the assessment period, including dates. | To identify occurrence of special circumstances to facilitate associated reduction of outputs to a submitting unit of assessment. <b>Data will only be shared with REF if required to do so on auditing.</b>   | The University's legitimate interest.   |
| Details of sick leave within the assessment period*.  | To identify occurrence of special circumstances to facilitate associated reduction of outputs to a submitting unit of assessment. <b>Data will only be shared with REF if required to do so on auditing.</b>   | The University's legitimate interest. Special category: substantial public interest; and archive, statistical and research purposes (monitoring equal opportunities). |
| Information about any medical or health conditions you have or have had within the assessment period*.  | To identify occurrence of special circumstances to facilitate associated reduction of outputs to a submitting unit of assessment. <b>Data will only be shared with REF if required to do so on auditing.</b>   | The University's legitimate interest. Special category: substantial public interest; and archive, statistical and research purposes (monitoring equal opportunities). |

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| Information about protected characteristics including: age, disability, sex/gender, gender reassignment*, marriage and civil partnership#, pregnancy* and maternity#, race*, ethnic origin*, nationality#, religion or religious beliefs*, and sexual orientation*.   | To facilitate equality impact assessments to be undertaken at key points during the REF 2021 exercise, including, but not limited to Mock REF and preparation of codes of practice. <b>Following data processing for the EIA, data will be anonymised prior to being shared (EIAs will be made publicly available in 2021). To protect the identity of individuals, data classifications of less than 5 will not be published.</b> | The University's legitimate interest. Special category: substantial public interest; and archive, statistical and research purposes (monitoring equal opportunities). |
| <p>* Denotes data that is classed as a "special category" of personal information.<br/> # Denotes data that might disclose a "special category".<br/> The University must have both a legal basis and a specific condition to process "special category" personal information. Special Category is defined as personal data which is more sensitive and so needs more protection. In order to lawfully process special category data both a legal basis (under GDPR Article 6) and a separate condition (under GDPR Article 9) must be identified</p> |  |   |

**Table 2: Personal data of Former Staff required for the REF 2021 process**

| <i>The personal information the University holds</i>     | <i>What the University needs it for</i>   | <i>Why the University processes it (i.e. the legal basis, and specific condition (where relevant))</i> |
|--|---|--|
| HESA staff identifier and/or staff number.               | Data required by REF 2021 to be submitted on the REF1b form. <b>Data will be submitted to REF as part of the University's submission, November 2020.</b>  | The University's legitimate interest.  |
| Staff date of birth.                                     | To assist with the University's REF 2021 preparations. Data required by REF 2021 for all Category A Submitted staff on form REF1a. <b>Data will be submitted to REF as part of the University's submission, November 2020.</b>                | The University's legitimate interest.  |
| Name (initials and surname).                             | Data required by REF 2021 to be submitted on the REF1b form (REF 2021 "Information about former staff to whom submitted outputs are attributed"). <b>Data will be submitted to REF as part of the University's submission, November 2020.</b> | The University's legitimate interest.  |
| Open researcher and contributor ID (ORCID) (where held). | Data required by REF 2021 to be submitted on the REF1b form. <b>Data will be submitted to REF as part of the University's submission, November 2020.</b>  | The University's legitimate interest.  |
| Job title/position when at the University                | Data required to assist in the determination and proof of eligibility for inclusion in the REF 2021 exercise. <b>Data will only be shared with REF if required to do so on auditing.</b>  | The University's legitimate interest.  |
| Grade when at the University                             | Data required to assist in the determination and proof of eligibility for inclusion in the REF 2021 exercise. <b>Data will only be shared with REF if required to do so on auditing</b>   | The University's legitimate interest.  |

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| Contracted hours/FTE.   | Data required by REF 2021 to be submitted on the REF1b form.<br><b>Data will be submitted to REF as part of the University's submission, November 2020.</b>   | The University's legitimate interest.   |
| Workload Plan or Development Plan (if available) when at the University.  | To assist with the University's REF 2021 preparations.<br>Data required to assist in the determination and proof of eligibility for inclusion in the REF 2021 exercise. <b>Data will only be shared with REF if required to do so on auditing.</b>  | The University's legitimate interest.   |
| Employment dates (on REF-eligible contract) at the University and as a researcher.  | Data required by REF 2021 to be submitted on the REF1b form.<br><b>Data will be submitted to REF as part of the University's submission, November 2020.</b>   | The University's legitimate interest.   |
| Early career researcher status.   | Data required by REF 2021 to be submitted on the REF1b form.<br><b>Data will be submitted to REF as part of the University's submission, November 2020.</b>   | The University's legitimate interest.   |
| Details of any periods of secondment or unpaid leave during which any outputs were first made publicly available.                                     | Data required by REF 2021 to be submitted on the REF1b form.<br><b>Data will be submitted to REF as part of the University's submission, November 2020.</b>   | The University's legitimate interest.   |
| Whether any personal data should be omitted from the published data for specific reasons, such as commercial sensitivity or security.                 | Data required by REF 2021 to be submitted on the REF1b form.<br><b>Data will be submitted to REF as part of the University's submission, November 2020.</b>   | The University's legitimate interest.   |
| Information about protected characteristics including: age, disability, sex/gender, gender reassignment*, marriage and civil partnership#, pregnancy* | To facilitate equality impact assessments to be undertaken at key points during the REF 2021 exercise, including, but not limited to Mock REF and preparation of codes of practice. <b>Following data processing for the EIA, data will be anonymised prior to being shared (EIAs will be made publicly available in 2021).To protect</b> | The University's legitimate interest.Special category: substantial public interest; and archive, statistical and research |
| Information about internal and external assessment of output.   | To assist with the University's REF 2021 preparations.<br>Data required to assist in the determination of output to be submitted by the University. <b>Data will only be shared with REF if required to do so on auditing.</b>  | The University's legitimate interest.   |

**Table 3: Personal data of Witnesses/Testimonial Providers required for the REF 2021 process.**

| <i>The personal information the University holds</i> | <i>What the University needs it for</i>   | <i>Why the University processes it (i.e. the legal basis, and specific condition (where relevant))</i> |
|--|---|--|
| Organisation   | Data required by REF 2021 to be submitted on the REF3 form: "Case studies describing specific examples of impacts achieved during the assessment period (1 August 2013 to 31 July 2020), underpinned by excellent research in the period 1 January 2000 to 31 December 2020". <b>Data will be submitted to REF as part of the University's submission, November 2020.</b> | The University's legitimate interest.  |

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| Position (where appropriate) | Data required by REF 2021 to be submitted on the REF3 form. <b>Data will be submitted to REF as part of the University's submission, November 2020.</b>  | The University's legitimate interest. |
| Name                         | Data required to be available to REF 2021 for audit purposes (corroboration of key claims made by the University in the REF3 form). <b>Data will only be shared with REF if required to do so on auditing.</b> | The University's legitimate interest. |
| Contact details              | Data required to be available to REF 2021 for audit purposes (corroboration of key claims made by the University in the REF3 form). <b>Data will only be shared with REF if required to do so on auditing.</b> | The University's legitimate interest. |
| Position (where appropriate) | Data required by REF 2021 to be submitted on the REF3 form. <b>Data will be submitted to REF as part of the University's submission, November 2020.</b>  | The University's legitimate interest. |

**Table 4: Third parties the University may share your data with**

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| Higher Education Statistics Agency HESA; see the collection notice at <a href="http://www.hesa.ac.uk/collection-notices">http://www.hesa.ac.uk/collection-notices</a> .   |
| Research Councils, and other prospective and actual funders of research.  |
| Government bodies that run Research Excellence Framework (REF 2021), including the UK higher education funding bodies such as the Scottish Funding Council. The REF have published their own Privacy Notice for users of REF Submission and Assessment Systems <a href="https://www.ref.ac.uk/submission-system/privacy-notice/">https://www.ref.ac.uk/submission-system/privacy-notice/</a> .  |
| Individuals who exercise their legal right to access recorded information held by the University under information legislation, particularly the Freedom of Information (Scotland) Act 2002 and data protection law (General Data Protection Regulation (GDPR) and Data Protection Act 2018). The University will normally only disclose work-related or professional information about its members of staff and will inform or consult any members of staff concerned where disclosure would not reasonably be expected. |