The “REF 2021 Privacy Notice” is relevant to the following groups of individuals:

1. Current University of Glasgow employees who are considered to be REF-eligible; this includes individuals with a primary employment function of “Research & Teaching” and individuals with a primary employment function of “Research only” who are regarded as independent researchers in accordance with the criteria in Section 3.1.1. of the UofG REF2021 Code of Practice.

2. Former University of Glasgow employees who authored research outputs that were published while they were employed as REF-eligible (Category A eligible) staff at the University during the period 1 January 2014 to 31 July 2020.

3. Individuals who are not employed by the University on a REF-eligible (Category A eligible) contract but whose contract or job role includes teaching or research only contracts or research primarily focused at the University during the REF assessment period e.g. staff on secondment or staff employed by the NHS.

4. Graduates from research postgraduate programmes (Masters and PhD) whose information may be used to produce statistical information for REF 2021.

5. Individuals who are not employed by the University but who have provided corroborating statements relating to the industrial significance of outputs (REF Sub-panels 11 and 12 only) or testimonials for impact case studies for REF 2021.

The REF 2021 Privacy Notice details what personal information the University holds about you in relation to the REF 2021 exercise, why we hold this information and our legal basis for doing so, what we do with it, how long we keep it for and if we share it with third parties.

1. **What information do we collect?**

**Current and Former Staff**

For current and former University of Glasgow staff members, we will collect and use the following categories of data for the REF2021 submission:

- name, date of birth, Open Researcher and Contributor ID (ORCID) and Higher Education Statistics Agency (HESA) identifier; information about contract type, duration and FTE; periods of leave or secondment; employment history;
- equality and diversity data and early career researcher status and supporting information;
- research area (‘unit of assessment’) and research group;
- details of staff activities and achievements, including but not limited to: research publications, including detail of author contributions; research student supervision records; research funding awards and applications; records of staff development and mentoring.

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1 REF-eligible is defined in UofG REF Code of Practice –Part 2: [https://www.gla.ac.uk/media/Media_771896_smxx.pdf](https://www.gla.ac.uk/media/Media_771896_smxx.pdf)
In addition, current employees may voluntarily submit additional data about personal circumstances including details of circumstances that have affected the ability to work productively throughout the REF period (a declaration of circumstances), including but not limited to:

- qualifying as an Early Career Researcher;
- absence from work due to secondments or career breaks outside the HE sector;
- qualifying periods of family-related leave;
- junior clinical academics who have not gained a Certificate of Completion of training by 31 July 2020;
- 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; and
- gender reassignment.

**For impact case studies: Individuals not employed by the University who have provided testimonials for impact case studies**

Impact case studies will be published online by UK Research and Innovation (UKRI) unless arrangements have been agreed in advance to safeguard sensitive information (commercial or otherwise) through redaction or non-publication.

If you provided a letter of support for an impact case study as part of our submission to the REF 2021 exercise, we will provide this to UKRI as part of our evidence collection, and quotes or other information from the letter may be included in the published case study. Where a quote has been utilised, only your position and organisation will be attached to that. The letter of support itself will not be published, nor will your name or contact details, unless you are a public figure (e.g. elected official or other public figure) whose name may be included in the published case study.

If you have agreed that REF assessors may contact you for additional corroboration, we will provide your name and contact details to UKRI and these details will not be published. Please note, we will retain your name and contact details until completion of the audit period (April 2022).

Further information on the confidentiality arrangements governing REF assessment generally are available at [www.ref.ac.uk](http://www.ref.ac.uk) in particular publication 2019/02, ‘Panel criteria and working methods’, Annex E: Confidentiality and information security agreement for REF2021 panels.

More detailed information on the arrangements for handling specific impact case studies that include sensitive or confidential information can be found are available at [www.ref.ac.uk](http://www.ref.ac.uk) in particular publication 2019/01 in ‘Guidance on submissions’, sections 307-308. Annex G, Section 5 of that document sets out the evidentiary information that we are required to share with UKRI in relation to impact case studies.

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[2] UoG REF Code of Practice - Section 5.3.1(iv) - Should a member of staff be unsure as to whether to declare individual staff circumstances, they will be able to contact a central advice point. Discussions will be treated confidentially and where appropriate, queries will be directed to the relevant College HR team or the Equality and Diversity Unit (EDU). [https://www.gla.ac.uk/media/Media_771896_smxx.pdf](https://www.gla.ac.uk/media/Media_771896_smxx.pdf)
For research publications (outputs): Individuals not employed by the University who have provided testimonials relating to the industrial significance of outputs (REF Sub-panels 11 and 12 only)

If you provide a testimonial relating to the industrial significance of a research publication (output) as part of our submission to the REF 2021 exercise, we will provide UK Research and Innovation (UKRI) with details of your position and company. These details will be published online by UKRI as part of the “additional information” that will be published in relation to the output.

Separately, we will retain your name and contact details until 30 June 2022. Should we receive an audit query from UKRI in relation to claims you have made in relation to the output, we will provide your name and contact details to UKRI to allow them to contact you to verify those claims. Please note that this information will not be published and we will only provide it to UKRI in the event of audit.

2. Why do we need your personal information?

“Personal information” means any piece of information which can identify you.

We collect and use your personal information for the purpose of the REF 2021 exercise to:
- ensure that the University meets the validation requirements for the submission to REF 2021;
- provide benchmarking information for use within the higher education sector and for public information; and
- provide information that will inform the selective allocation of funding for research.

3. What is our legal basis for processing your data?

We must have a legal basis for processing all personal data. Other than for special category data, our legal basis for processing your data is legitimate interest. The University has identified a legitimate interest in capturing this data in order to inform the University’s return to REF2021.

The legal basis for processing special category data is explicit consent.

4. Who has access to your data?

The University will share your data only with those employees of the University who need to view it as part of their work in preparing the REF2021 submission. This may include staff in Research and Innovation Services, College Research Offices, Human Resources, the Equality and Diversity Unit, the University Library, Planning, Insights and Analytics and IT Services and those holding roles or positions specifically relating to institutional preparations for REF2021 including members of the REF Project Board, the REF Operations Group and its Subgroups, the Staff Circumstances Equality & Diversity Subgroup (SCE&D), the Staff Independence Status Appeals Committee (SISAC), College Assessment Panels, REF UoA Champions, REF Impact Champions and members of UoA Output Scoring Committees. Details of the membership and remit of committees and individuals involved in the REF process are available in Appendix 5 of the UofG REF2021 Code of Practice.

If you have voluntarily submitted a declaration of circumstances, this will be reviewed by a
restricted number of staff from Research and Innovation (R&I) and College Research Office (where appropriate), Human Resources, the University’s Equality and Diversity Unit and the Staff Circumstances Equality and Diversity Committee. Declarations which require a judgement about the effect of circumstances will be reviewed by the Staff Circumstances Equality and Diversity Committee (See Section 5 of Appendix 5 of the UofG REF2021 Code of Practice).

Equality and diversity data will be used by R&I to provide analysis on the REF processes in the form of Equality Impact Assessments (EIAs).

5. **What do we do with your data and how long do we keep it?**

**Current Staff:**
R&I will retain your data to support the University’s REF2021 submission, including if required for legal, accounting, or reporting requirements.

Specifically, R&I will retain all data used in the development of the REF submission until completion of the REF audit process (30 June 2022). Data held at the College and Unit level will be securely deleted following the University of Glasgow’s submission to REF2021 in March 2021.

Data gathered to inform and evidence statements describing the research environment of the University or of individual Units of Assessment is gathered in the normal course of business and will therefore be retained in accordance with applicable data retention schedules.

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. UKRI will delete all the personal data that they hold about you within one month of publication of the results of the assessment exercise, other than information in impact case studies and environment statements (see below).

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 and environment statements, in which you may be referenced. Your name, job title and periods of employment may be included in this textual information.

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 UofG 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.

**Former Staff:**
For former staff, we will retain your data to support the University’s REF2021 submission, including if required for legal, accounting, or reporting requirements.

Some limited categories of personal data will be retained beyond the standard retention period of termination of employment plus 6 years due to REF requirements. This data will not be retained beyond 30 June 2022 and will then be securely destroyed.

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. UKRI will delete all the personal data that they hold about you within one month of publication of the results of the assessment exercise, other than information in impact case studies and environment statements (see below).
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 and environment statements, in which you may be referenced. Your name, job title and periods of employment may be included in this textual information.

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 UofG 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.

**Individuals not employed by the University who have provided testimonials for research publications (outputs) (REF Sub-panels 11 and 12 only)**

The results of the assessment exercise will be published by UKRI, on behalf of the four UK higher education funding bodies, in April 2022.

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 in which you may be referenced. Your position/job title and organisation may be included in this textual information. Other personal details will be removed.

6. **Do you share data with third parties?**

Data will be shared with the following third parties:

**UK Research and Innovation (UKRI):** The REF is managed by UKRI and Research England on behalf of the four UK higher education funding bodies. We will send some of the information we hold about you to UKRI for the purpose of the REF2021. Under this arrangement UKRI has the role of ‘data controller’ for personal data submitted by us to the REF. UKRI have set out how they will use the data submitted in their ‘Fair Processing Notice for staff submitted to REF 2021’.

You can find further information about what data are being collected by UKRI on the [REF website](https://www.ref.ac.uk). The document ‘Guidance on submissions’ (paragraphs 151-201) provides more detail about reductions in outputs and what information needs to be submitted.

**Higher Education Statistics Agency (HESA):** For employees of the University of Glasgow, some of your data (Unit of Assessment, HESA staff identifier code and date of birth) will be passed to HESA to enable it to verify coded data returned to it as part of our HESA staff return (see [HESA website](https://www.hesa.ac.uk)). Data returned to the REF will be linked to that held on the HESA staff record to allow UKRI to conduct additional analysis into the REF and fulfil their statutory duties under the Equality Act 2010. For more information, see the [HESA staff data collection notice](https://www.hesa.ac.uk/data-collection).

**External reviewers:** Textual parts of the REF submission (including impact case studies and environment templates) may be shared with external reviewers during the process of submission development.

Where we share your data with a third-party external reviewer, we will seek to share the minimum amount necessary. This may include the information being transferred to, and stored at, a destination outside the European Economic Area. Such transfers will only take place with
appropriate safeguards in place to ensure the confidentiality and security of your personal information. If you require any information about these safeguards, you may contact Research and Innovation Services – ris-policy@glasgow.ac.uk

7. **What are your rights?**

GDPR provides that individuals have certain rights including: to request access to, copies of and rectification or erasure of personal data and to object to processing. In addition, data subjects may also have the right to restrict the processing of the personal data and to data portability.

You can request access to the information we process about you at any time. If at any point you believe that the information we process relating to you is incorrect, you can request to see this information and may in some instances request to have it restricted, corrected or erased. You may also have the right to object to the processing of data and the right to portability.

Please note that the ability to exercise these rights will vary and depend on the legal basis on which the processing is being carried out.

If you wish to exercise any of these rights, please go to: [https://www.gla.ac.uk/myglasgow/dpfoioffice/gdpr/gdprrequests/](https://www.gla.ac.uk/myglasgow/dpfoioffice/gdpr/gdprrequests/)

8. **Complaints**

If you wish to raise a complaint on how we have handled your personal data, you can contact the University Data Protection Officer who will investigate the matter. Our Data Protection Officer can be contacted at: dataprotectionofficer@glasgow.ac.uk If you are not satisfied with our response or believe we are not processing your personal data in accordance with the law, you can complain to the Information Commissioner’s office (ICO).

9. **Important Links**

- University of Glasgow Data Protection and Policy – [https://www.gla.ac.uk/myglasgow/dpfoioffice/policiesandprocedures/dpa-policy/#](https://www.gla.ac.uk/myglasgow/dpfoioffice/policiesandprocedures/dpa-policy/#)
- UKRI Privacy Notice – [https://www.ukri.org/privacy-notice/](https://www.ukri.org/privacy-notice/)

10. **Contact Us**

Research and Innovation Services – ris-policy@glasgow.ac.uk

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<th>Date</th>
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<tr>
<td>1.1</td>
<td>7 July 2020</td>
<td>• Dates updated throughout to take account of changes to the REF2021 Submission Timetable;</td>
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<tr>
<td></td>
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<td>• Section 5 updated to show that data on periods of employment for current and former staff may be published</td>
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<tr>
<td>1.2</td>
<td>10 September 2020</td>
<td>• Section 5 updated to cover retention arrangements for data gathered in support of statements describing research environment.</td>
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<td>• Sections 1 and 5 updated to clarify provisions for data relating to individuals not employed by the University who have provided testimonials for impact case studies or for the</td>
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industrial significance of outputs.

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<tr>
<td>1.3</td>
<td>25 February 2021</td>
<td>• Section 1 updated to clarify arrangements for data relating to individuals not employed by the University who have provided testimonials for impact case studies and to specify retention period for this data.</td>
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| 1.4 | 2 August 2021 | Data retention dates changed to 30 June 2022 in line with information relating to Audit and Code of Practice Complaints/Investigations Processes released post REF2021 submission. Changes made to:  
• Section 1, Page 3, Paragraph 2; and  
• Section 5, Page 4, Paragraphs 2 and 8. |