

Birkbeck, University of London

Birkbeck exists to provide life changing educational opportunities for its students and undertake cutting-edge research for the public good. In order to carry out this mission, it is necessary to process personal data.

We take our responsibilities to process your data transparently, fairly, lawfully, safely and securely very seriously. This document is part of our efforts to keep you informed about how we treat your data.

PRIVACY NOTICE BBKPN015.0

For the purpose of the Research Excellence Framework 2020 (REF 2021)

About Birkbeck

Birkbeck College (also known as Birkbeck, University of London) is the data controller for all of the personal data that it holds and processes and is subject to the General Data Protection Regulations (GDPR). Birkbeck is registered with the Information Commissioners Office (ICO) registration number Z718111X

- Address: Birkbeck College, Malet St, Bloomsbury, London, WC1E 7HX
- Birkbeck's Data Protection Officer can be contacted by emailing dpo@bbk.ac.uk

If you have any queries about how we use your data, or wish to exercise your rights with regard to your data including, making a subject access request, please contact dpo@bbk.ac.uk

About Birkbeck's approach to personal data processing

In common with all universities, Birkbeck processes the personal data of many individuals in order to carry out its mission.

You will find a complete set of information describing our data processing activities, our data privacy policy, relevant privacy notices, information about the rights of individuals whose data we process and how to exercise these rights on our website at www.bbk.ac.uk/privacy.

Birkbeck has many different types of relationship with many different groups of people, and some people have more than one relationship with Birkbeck (for example one person may be both a student and member of staff). It is not possible to provide one single privacy notice that accurately describes all these processing activities. Therefore separate notices are provided that describe each processing activity. It should be noted that more than one privacy notice may apply to the processing of your personal data for different purposes. This should be made clear to you at the point where your personal data is collected. It should also be clearly described within the privacy notice itself. All our privacy notices are available at www.bbk.ac.uk/privacy and if you are in any doubt please contact dpo@bbk.ac.uk.

About our privacy notices

This privacy notice explains how Birkbeck collects, uses and shares personal data and your rights in relation to the data that we hold about you. It includes information about how personal data is used, and the nature of any processing by other data processors or controllers.

The processing purpose covered by this notice

This privacy notice applies to Birkbeck's processing of personal data for the purpose of the College taking part in the periodic national evaluation of research quality, REF

What data we collect

- Birkbeck will obtain, hold and process the following personal data for the purposes of the REF submission:
 - Surname and initials
 - Date of birth
 - HESA staff identifier
 - ORCID ID
 - (if declared only) information about circumstances which have constrained an individuals ability to undertake research in the census period for REF 2021 – ie. 1st August 2013-31st July 2020

Where we collect it from

- HR records
- Emails sent to ref2021indcircs@bbk.ac.uk for the purposes of declaring about circumstances which have constrained an individuals ability to undertake research in the census period for REF 2021

How we use the data

This data is entered into the online REF submission system and is shared through submission of the return with the team administering the REF at Research England.

Information about circumstances which have constrained an individuals ability to undertake research will also be shared with REFs Equality and Diversity Advisory Panel, and in some cases it may be necessary for this data to not be fully (or potentially even partially) anonymised

Information about how Research England will use this data can be accessed via the links at the end of this notice.

Taking part in periodic evaluations of research quality allows the UK government to demonstrate the value and the quality of government funded research. The REF is the current mechanism of choice and as a university in receipt of Government funded for research we are expected to take part. If we do not take part we become ineligible for governmental (and some non-governmental) funds for research

Under what lawful basis we process your personal data

Birkbeck uses your personal data under different lawful bases depending on the process being performed. The following are the legal bases identified and examples of the data processing activity to which they apply:

- Public Task - the processing is necessary for the College to perform a task in the public interest or for our official functions
- Birkbeck processes the special category data for this purpose under condition Article 9 (2) (j) (Archiving, research and statistics) for the purpose of REF 2021

How long we keep your data for this processing purpose

The College will retain access to all data returned via the REF system until the end of the audit period and the publication of results in summer 2022.

Sharing your data with other Data Controllers

The data is shared with the REF team at Research England.

Third Party Service Providers (use of Data Processors)

This activity does not engage with 3rd party processors

International

This activity does not transfer personal data outside of the UK.

Your personal data rights

You have the following rights with regard to your personal data held by the College for REF purposes:

- The right to request access to your personal data held by the College.
- The right to have inaccurate or incomplete personal data rectified.
- The right to object – you can object to the processing of your personal data by the College in certain circumstances, including the sending and receipt of direct marketing material.
- All requests to exercise any of these rights should be made to the College's Data Protection Officer, by emailing: dpo@bbk.ac.uk.

Complaints - If you are unhappy with the College's handling of your personal data or believe that the requirements of GDPR may not be fully complied with, you should contact the College's Data Protection Officer in the first instance. You may also follow the College's formal complaint procedure, and you also have the right to submit a complaint to the Information Commissioner's Office; further details can be found at www.ico.org.uk.

Version History & Review

This privacy notice will be subject to periodic review. Any material changes will be communicated to those affected in an appropriate manner as and when they are required.

Version	Effective Date	Reason for change
BBKPN015.0	18 th December 2020	First Draft

Appendix

Staff Data Collection Statement for the REF 2021

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 in particular publication 2019/01, 'Guidance on submissions'.

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). 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 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. Any personal information in our environment or impact case study narrative statements which extends beyond the name and job titles of people employed by the College will be redacted by the College for publication unless consent to include the information in public documents has been obtained from the person affected

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. If you have any questions about the process to disclose personal circumstances please contact the Colleges REF manager on sarah.lee@bbk.ac.uk in the first instance.

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. Data provided by the College about personal circumstances will be anonymised as much as is possible prior to submission to Research England. 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

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 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

Link to the Birkbeck REF Privacy Notice:

Link to the REF Fair Processing Notice from Research England: [Fair Processing Notice for staff submitted to REF 2021 - REF 2021](#)

