

Privacy notice – UHI REF – UHI Partnership research staff data return to HESA.

The Data Controller of the information being processed are:

The Academic Partner that employs you (purpose 1 only), and The University of the Highlands and Islands (UHI), Executive Office, 12B Ness Walk, Inverness IV3 5SQ. Phone: 01463 279000 (all other purposes).

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For any queries or concerns about how your personal data is being processed you can contact the relevant Data Protection Officer at dataprotectionofficer@uhi.ac.uk

This privacy statement relates to the following purpose:

UHI participates in the Research Excellence Framework (REF). The purpose of the Research Excellence Framework 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.

UHI participates in the REF so that UHI partnership and its researchers gain recognition for their research. Participating in REF also allows UHI to access funding associated with REF outcomes. REF outcomes also add to the reputation of the UHI Partnership enhancing the ability to attract staff, students, and research collaborators, and funders

A condition of REF, and the associated research funding, is that UHI is required to provide UKRI (who administer REF) with details of certain UHI partnership staff who conduct, and contribute to, research within the partnership.

UHI provides this information to HESA (a part of JISC) is the Higher Education Statistics Authority who receive this information for UKRI.

For information, 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.

REF is yet to provide UHI with its privacy notice for its processing of personal data for REF 2029, but you can read about the REF 2029 process here: [REF 2029](#)

You may be interested in reviewing the privacy notice for the last REF exercise: [Fair Processing Notice for staff submitted to REF 2021](#)

Your information will be used for the following processes:

Purpose 1: Collation and sharing of your personal data by the academic partner that employs you	The information required for the REF submission is held by the Academic Partner that employs you. Your employer will collate, prepare, and quality assure the required information and securely share it with UHI. Your employer is the data controller for this purpose.
Process 2: Data validation and submission of data to UKRI – Submission of data	Preparation and submission of required information to REF 2029 (via HESA) (in years 2025/26 and 2026/27) – as a required part of

about relevant researchers to HESA for UKRI.	the REF 2029 process and submission of the same for the REF 'pilot year' 2024/25 (via HESA) – as of the REF 2029 preparation process. This Includes collecting relevant information, conducting required analyses, quality assurance, and submission of the data HESA/UKRI. This may include making supporting information available to HESA/UKRI and their agents for auditing purposes. UHI is the data controller for this purpose.
Process 3: Collation and maintenance of evidence to support the veracity of the data submitted to the REF process	Maintenance of additional evidence to demonstrate that the submissions are accurate. UHI is required to maintain evidence supporting its submissions and demonstrating their veracity. This evidence may be used for evidence or appeal purposes. Where necessary, this may include sharing necessary evidence with HESA/UKRI and their agents (or other competent bodies) for auditing purposes. UHI is the data controller for this purpose.

Our legal reasons for using the data are:

To achieve the following Purposes:

Process 1: Collation of your personal data by the academic partner that employs you, Process 2: Data validation and submission of data to UKRI, Process 3: Collation and maintenance of evidence to support the veracity of the data submitted to the REF process

Our legal reason to use the data is: Use is necessary for UHI to perform a task in the public interest or under official authority vested in us. That being the university's and Academic Paernter's public task to i) provide quality fundable education and research and ii) fulfil its duties in terms of REF 2029 participation, thereby providing evidence that it is acting responsibly in terms of its use of public monies, and conducting high quality research that has benefits society.

Personal data processed and shared:

The information collated and shared includes some information your employer holds about you, In addition some new information is created – this new information is limited to codes that denote, in broad terms, information about your role as a researcher, such as whether you are a research assistant (yes/no), your contract type (permanent/fixed term/other), or your field of research.

The following personal data about you is collated by your employer and shared with UHI:

FIELD DESCRIPTIONS	HESA DEFINITION	UHI CONTRACT EQUIVALENTS
SURNAME		<i>This will be reported from Pure as it is recorded on all researchers Pure profiles.</i>
FIRSTNAME		<i>This will be reported from Pure as it is recorded on all researchers Pure profiles.</i>
OWNSTAFFID	This field records the higher education provider's (HEP's) own internal identifier for staff	This is our network id e.g. EO01DO - it gives a common unique id to both UHI and HESA.
ORCID	<i>e.g. 0000-0001-6479-5330:</i> A unique researcher id – ORCID is a global referencing system for research staff to help ensure the correct attribution of research outputs, and is now required by most funders, again to positively identify a person. Researchers register for it themselves and we must submit it to REF.	<i>This will be reported from Pure as it is recorded on all researchers Pure profiles.</i>
UKPRN	<i>10007114:</i> This is the unique id in UKRI systems for UHI, so is the same for all our staff.	<i>10007114:</i> This is the unique id in UKRI systems for UHI, so is the same for all our staff.
ACEMPFUN	<p>Key in identifying the staff that are eligible for inclusion in REF calculations. ACEMPFUN = Academic employment function</p> <p>Needs to be completed with one of the following:</p> <ul style="list-style-type: none"> 1 - Academic contract that is teaching only 2 - Academic contract that is research only 3 - Academic contract that is both teaching and research 4 - Not an academic contract 9 - Academic contract that is neither teaching nor research <p>For each staff member, you need to hold a copy of the main contractual document and job description which will confirm that the individual is engaged in research, or not. There may be other</p>	<p>Picking the correct code can be confusing due to clashes of terminology between the Colleges Scotland national bargaining employment contract types and the HESA codes.</p> <p>If you are covered by the national bargaining arrangements, you may have placed staff engaged in research on a support contract. You would therefore assume the correct coding is 4. However <u>as long as you have the right supporting documentation in place to confirm they are engaged in research, you should use code 2 or 3 as appropriate to describe their contract type.</u></p>

documents you have that confirm these details depending on your arrangements, e.g. some partners have a letter which sits alongside the other two documents to confirm the research hours each year. These documents would need to be produced in the event we were audited on our submission.

Code 1 'Academic contract that is teaching only' applies only to contracts indicating that staff are teaching only.

Code 2 'Academic contract that is research only' should be used for those contracts where the primary academic employment function is research only, even though the contract may include a limited number of hours teaching (up to 6 hours per week or pro-rata for part-time staff). This code is particularly important for higher education providers (HEPs) in Scotland, as SFC has a specific need to monitor Contract Research Staff (CRS).

Code 3 'Academic contract that is both teaching and research' applies to contracts that include 6 or more hours of teaching per week (averaged over the number of actual teaching weeks) as a minimum (pro-rata for part-time staff) and the remaining contract hours as research only.

Teaching should include all related activities such as tutoring and preparation.

If a contract is for both academic and non-academic work then the appropriate code from 1 to 3 should only be used where the primary employment function is teaching and/or research.

Code 4 'Not an academic contract' usually applies to professional services staff.

Code 9 'Academic contract that is neither teaching nor research' should be used for academic contracts where the primary employment function is not teaching and/or research.

Full details: [Staff 2020/21 - Academic employment function | HESA](#)

See explanation above for research staff on support contracts in order to fit in with national bargaining arrangements. If we incorrectly code these staff as '4', they will not be eligible for REF and we will reduce our volume measure which will reduce the funding we get from REF.

REF UOA	A two-figure code to describe the Unit of Assessment the staff member is aligned to, e.g. 25 = Area Studies. There are 34 units.	<i>This will be reported from Pure as it is recorded on all researchers Pure profiles.</i>
CONFTE	<p>FTE during the reporting period according to the contract of employment. FTE does not need to be reduced to take account of temporary arrangements such as maternity leave, sick leave or other temporary arrangements for staff still eligible for inclusion in the record according to their contract of employment.</p> <p>Clinical academics who as part of their contract, spend some of their time working outside of the HEP in the NHS should not have their FTE reduced to reflect the amount of time spent working in the NHS.</p> <p>FTE should be reduced, however, to take account of a partial year worked by staff on contracts that started or ended during the reporting period.</p> <p>Full details: Staff 2020/21 - FTE during reporting period HESA</p>	We will be discussing the retention of data and its supporting information for audit purposes until AY 29/30 with Philippa Currie at HRPG on 25/9/24. The proposed solution is to hold all this centrally so that it is a ‘once and done’ activity for HR teams.
CONTID	<p>Unique ID for the submission, can be a combination of the staff id and contract id. In the absence of any existing data items, an institution might choose to complete this field with a sequential number for each contract held by each person. In this case, the first contract for each person would have a value of 1, the second would have a value of 2 and so on. In this case, we would expect the majority of contract records to have a value of 1 in this field.</p> <p>Once allocated, the value in this field should not change over time. This will facilitate the analysis of patterns of employment in the higher education sector over time.</p> <p>Full details: Staff 2020/21 - Contract identifier HESA</p>	<p>For many people this will be 1 as they only had 1 contract in the academic year. Where the staff member has multiple contracts in the year, they would have a series of contract IDs.</p> <p>The two main scenarios for this are where there:</p> <ul style="list-style-type: none"> - is a change in job role part way through the year so that the staff member has CONTID 1 and CONTID 2. - are multiple part time contracts for the staff member so again there is CONTID 1, CONTID 2 etc for as many partial contracts as are needed.
STARTCON	The start date of the contract	The start date of the contract
ENDCON	The end date of a contract	The end date of a contract
TERMS	<p>Terms of employment of the contract. Needs to be completed with one of the following:</p> <p>1 - Open-ended/Permanent</p> <p>2 - Fixed-term</p>	<p>1 - Open-ended/Permanent –</p> <p>2 - Fixed-term –</p>

	<p>3 – Atypical</p> <p>Code 1 'Open-ended/Permanent' should be used for staff who are employed on a contract of employment that states the member of staff as permanent or on an open-ended contract. This includes term-time only staff who are employed on an open-ended contract and Contract.MOEMP must be coded either 2 'Full-time, term-time only' or 4 'Part-time, term-time only'</p> <p>Code 2 'Fixed-term' should be used for staff who are employed for a fixed period of time or have an end date on their contract of employment. This includes staff on rolling fixed-term contracts.</p> <p>Code 3 'Atypical' should include staff whose working arrangements are not permanent, involve complex employment relationships and/or involve work away from the supervision of the normal work provider. These may be characterised by a high degree of flexibility for both the work provider and the working person, and may involve a triangular relationship that includes an agent Full details: Staff 2020/21 - Terms of employment HESA</p>	<p>3 – Atypical –</p> <p>Atypical contracts meet one or more of the following conditions:</p> <ul style="list-style-type: none"> • Are for less than four consecutive weeks - meaning that no statement of terms and conditions needs to be issued. • Are for one-off/short-term tasks - for example answering phones during clearing, staging an exhibition, organising a conference. There is no mutual obligation between the work provider and working person beyond the given period of work or project. In some cases individuals will be paid a fixed fee for the piece of work unrelated to hours/time spent. • Involve work away from the supervision of the normal work provider - but not as part of teaching company schemes or for teaching and research supervision associated with the provision of distance learning education. • Involve a high degree of flexibility often in a contract to work as-and-when required - for example conference catering, student ambassadors, student demonstrators.
RESAST	<p>RESAST = Research Assistant Current HESA responses are: 0 - Not a research assistant 1 - Research assistant</p>	<p>0 - Not a research assistant 1 - Research assistant This is as straightforward as it appears – there is no catch! For whatever reason, HESA simply want us to confirm whether we regard the individual as being in a research assistant role or not. There doesn't seem to be a formal definition to which we need to adhere.</p>
SIGRES	<p>SIGRES = Significant responsibility for research Current HESA responses are: 1 - Yes 2 - No</p>	<p><i>This will be reported from Pure as it is recorded on all researchers Pure profiles.</i></p>
CCENTRE	<p>A three-figure code that HESA use to categorize the discipline that best fits the staff member, e.g. '101' = Clinical medicine. There are 50 categories.</p>	<p><i>This will be reported from Pure as it is recorded on all researchers Pure profiles.</i></p>

Additional evidence:

- 1) The employee's written statement of main terms and conditions of employment
- 2) Any contractual letters which set out the proportion of employed time the individual will spend on research and related activities
- 3) The employees job description, if required to understand their role within the UHI research community
- 4) Any other documentation relating to the employment of the individual which are required to enable REF auditors to verify the volume data submitted to the REF.

The following information (a sub-set of that above) is shared by UHI with UKRI / HESA:

At least the 'submission data' listed above will be shared with UKRI/HESA/JISC for the REF 2029 process. The 'additional evidence' will only be shared/made available to UKRI, HESA, or relevant other parties (auditors or regulators) for the REF purpose if it necessary for the purposes of demonstrating the veracity or accuracy of the 'submission data' or the information is necessary for an appeal made under the REF process.

Your data will, or may, be shared with the following recipients or categories of recipient:

UHI will share your data with UK Research and Innovation (UKRI), the Higher Education Statistics Authority ([HESA](#)) which is part of [JISC](#). It may also be necessary for auditors or regulators to access the personal data.

HESA provides information to a number of organisations, you can read the HESA privacy notices here: [Collection notices | HESA](#)

UHI has not yet been informed of the personal data that UKRI may share with other parties. However, you can read more about the REF 2029 here: [REF 2029](#) and read the REF 2021 privacy notice here: [Fair Processing Notice for staff submitted to REF 2021](#).

You may also be interested to know that, as part of the 2021 REF assessment UHI informed individuals that UKRI might share, or publish, researcher data as follows:

UKRI data sharing:

“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). It should be noted that the organisational structure of UHI means this HESA verification exercise will only involve the data of those academic staff employed directly by UHI Executive Office as it is only they who are included in the UHI HESA staff return.

UKRI and the organisations listed above will use the information to analyse and monitor the REF2021. 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.

UKRI Data publication:

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. .

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 us. 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 data will be retained for the following length of time:

Purpose and data	Retention period
Purpose 1: Collation and sharing of your personal data by the academic partner that employs you	The information prepared for the REF submission and evidence process will be deleted by your employer within Three months of UHI receiving the data and confirming it is satisfied with the accuracy of the data.
Process 2: Data validation and submission of data to UKRI – Submission of data about relevant researchers to HESA for UKRI.	<p>Data submitted for the pilot year (2024/5):</p> <p>Until end of REF 2029 audit cycle</p> <p>Data submitted for REF 2029 (2025/6 and 2026/7):</p> <p>Until the later of i) end of REF 2029 audit cycle or ii) REF 2029 appeal period</p>
Process 3: Collation and maintenance of evidence to support the veracity of the data submitted to the REF process	<p>Data submitted for the pilot year (2024/5):</p> <p>Until end of REF 2029 audit cycle</p> <p>Data submitted for REF 2029 (2025/6 and 2026/7):</p> <p>Until the later of i) end of REF 2029 audit cycle or ii) REF 2029 appeal period</p>

The following rights are your rights as a data subject:

- The right to rectification if the personal data we hold about you is incorrect
- The right to restrict processing of your personal data

The following rights apply only in certain circumstances:

- The right to withdraw consent at any time if consent is our lawful basis for processing your data
- The right to object to our processing of your personal data
- The right to request erasure (deletion) of your personal data
- The right to data portability
- The right to access your personal data

- To make a rights request to UHI; you can contact UHI's Data Protection officer at dataprotectionofficer@uhi.ac.uk
- To make a rights request to your employer you can contact your employer's Data Protection Manager. A directory of DP managers for Academic Partners is available [here](#).
- To make a rights request to UKRI;
- Further information about the Act and GRPR, and guidance on making a subject access request, can be found on the Research England (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 by UKRI please contact:

Data Protection Officer,
UK Research and Innovation,
Polaris House,
Swindon,
SN2 1FL

dataprotetcion@UKRI.org

You also have the right to lodge a complaint with the Information Commissioner's Office about our handling of your data. The Information Commissioner's Office website is available at: <https://ico.org.uk/your-data-matters/>