

Annex A - Schedule of Processing, Personal Data and Data Subjects

The Supplier shall only process in accordance with the instructions as advised below and comply with any further written instructions with respect to processing by the Contracting Authority. Any such further written processing instructions required by the Contracting Authority shall be incorporated into this Schedule and shall be the subject of a formal amendment to this Contract.

1. The contact details of the Contracting Authority Data Protection Officer are: Duncan Shermer (Duncan.Shermer@re.ukri.org)
2. The contact details of the Suppliers Data Protection Officer are: David Hyett (dataprotection@ukri.org)
3. The Supplier shall comply with any further written instructions with respect to processing by the Contracting Authority.

Any such further instructions shall be incorporated into this Schedule

Description	Details
Subject matter of the processing	This project aims to utilise scores produced from the REF2021 exercise to test experimental approaches to technology assisted research assessment. The processing is needed to carry out the experimental work so the robustness of the work can be ensured and individual scores can be used as a comparison to results generated by any automated/semi-automated approach.
Duration of the processing	The processing of the data will begin once the contract has been awarded in January 2022. It shall last until the 29 th July, 2022.
Nature and purposes of the processing	<p>The contractor shall use a sample of individual REF scores generated by peer review to inform the development of an automated/semi-automated system of assessment which could then be tested against a separate sample also scored by peer review.</p> <p>Contractors should utilise the individual scores to help understand the reliability of any technology assisted assessment. Contractors must not attempt to identify individuals from the data provided and should by no means disseminate the scores to any 3rd party. The individual score data can also be utilised to help train any technology assisted assessment, which shall help answer the main aims of the project. It can also be used to compare results generated by any automated/semi-automated approach with results generated by peer review.</p> <p>Applicants are encouraged to propose other data sets which could be used alongside the individual REF scores such as bibliometric data and text-mining of the individual outputs. This data will have to be already publicly available but may be aligned or combined with the individual scores.</p> <p>Contractors may also wish to utilise personal data to analyse any potential biases in the experimental work. Where this is done the collection, storing and use of the data must fall within the remit of fair usage of HESA data.</p>
Type of Personal Data	<p>The personal data that shall be provided for this project shall include:</p> <ul style="list-style-type: none">• Individual REF scores generated by peer review

	<ul style="list-style-type: none"> Outputs submitted to REF – personal data that may located on these outputs include name, institution, digital identifier, email. Any data that is utilised here shall only be used to help answer the main aims of the project. <p>The project may also wish to use a range of other personal data to help inform the experimental work and understand any limitations and biases. This data may include:</p> <ul style="list-style-type: none"> personal data revealing racial or ethnic origin. This data may only be utilised to understand any potential biases within a potential automated/semi-automated model.
Categories of Data Subject	The data subjects shall be researchers (staff) who were submitted to REF 2021
Plan for return and destruction of the data once the processing is complete UNLESS requirement under union or member state law to preserve that type of data	<p>Any data that has been collected over the contract period will need to be deleted when the contract terminates.</p> <p>The findings of the report shall be published at the end of the contract, but personal data shall not be included in this.</p>
Controls in place to prevent further use of the data	<p>To prevent the use of data for any reasons not specified, the data controller shall only share data that is required for the purposes of the processing.</p> <p>The study will be supported and informed by the expertise and guidance of an independent steering group which will convene and be consulted at key stages of the project's delivery and shall be informed of all data that is being utilised throughout the project.</p>