

UK Research and Innovation

Use of Grant Proposal & Training Grant information addendum

Guidance

This document supports and should be read in conjunction with:

- UKRI's Grant and Training Grant Terms and Conditions
- any relevant scheme/programme guidance notes
- the UKRI Privacy Notice (<https://www.ukri.org/privacy-notice/>)

Contents

Guidance.....	1
Use of Grant Proposal & Training Grant information	2
Special Category Data.....	3
Retention.....	3
Publication and disclosure	3
Freedom of Information Act 2000 (FOI) & Environmental Information Regulations 2004 (EIR).....	4
Confidentiality	4

Use of Grant Proposal & Training Grant information

UK Research and Innovation (UKRI) will collect and process information and personal data relating to grant proposals to support the peer review process and inform UKRI funding decision, for the management of awards and to evaluate the impact and effectiveness of funding programmes, grant proposal information, including those submitted through Je-S Student Details (SD), is treated confidentially and in-line with our publication scheme (see further below).

This forms part of UKRI's public task outlined in the Higher Education and Research Act and to achieve this, information is processed in accordance with the UK's current data protection legislation for the following purposes:

- the registration of grant proposals
- the operation of grants processing, maintenance and management
- the peer review of grant proposals, including UK and international reviewers, and the preparation of material for use by the reviewers and peer review panels
- Sharing grant proposal information on a strictly confidential basis with other funding organisations
- to seek contributions to the funding of grant proposals from third parties
- statistical analysis in relation to the evaluation of postgraduate training trends
- the management and assessment of grant awards statistical analysis in relation to the evaluation of research and impact, and the study of trends, such as, the evaluation of equality, diversity and inclusion policy, and strategy studies
- policy and strategy studies
- meeting UKRI's obligations for public accountability and the dissemination of information
- for publishing on UKRI's web site, our council websites, via Gateway-to-Research and ResearchFish, plus other publicly available databases (see **Publication and disclosure** section), and in reports and documents
- to alert applicants, award holders and others connected with applications of opportunities to secure funding or participate in peer review.

Further information can be found in:

- any guidance provided for the relevant scheme and/or call
- our Data Protection Policy (<https://www.ukri.org/files/termsconditions/ukri-data-protection-policy-pdf/>)
- the UKRI Privacy Notice (<https://www.ukri.org/privacy-notice/>).

Grant applications are processed on systems managed by UK Shared Business Services Limited (UK SBS) via a third party processor contractual arrangement.

It is the responsibility of the Research Organisation to ensure that both students it funds from UKRI funding and individuals who receive grant funding, or who are later involved in the award, are made aware of how personal data may be used by both UKRI and the Research Organisation. This

includes information relating to groups such as students, supervisors, project partners, investigators, named researchers and support staff.

Where calls are jointly funded by our councils and other organisations, information contained within the grant proposal may be shared, on a strictly confidential basis, with the funding partner. This would include (but is not restricted to) information relating to the registration, peer review, management of awards and evaluation, and may involve sharing with funding partners in the UK and internationally.

During or after completion of the award, UKRI may contact award holders and others involved in awarded projects as detailed in the terms and conditions of the award.

Special Category Data

UKRI will from time to time need to process Special Category Data (being personal data which could create more significant risks to a person's fundamental rights and freedoms, and which is afforded special protection by UK data legislation). Special Category Data will only be processed where UKRI needs to do so in order to comply with its legal obligations (particularly employment, social, health, disability and protection laws) or where otherwise specifically notified. For instance, Special Category Data is used to evaluate our funding from an equality, diversity and inclusion perspective.

Retention

UKRI may retain your personal information based upon business requirements, legal obligation, statutory or regulatory obligations and transactional purposes. If you want to know how long your information is kept, please write to our Data Protection Officer (see <https://www.ukri.org/privacy-notice/>).

Publication and disclosure

For UKRI to meet its obligations for public accountability, information relating to the research fund will be made publicly available as detailed in:

- UKRI's publication scheme (<https://www.ukri.org/freedom-of-information/publication-scheme/>)
- Councils' Guides to Information.

This information is made available via UKRI websites, the UKRI Gateway to Research and other publicly available databases, reports and other public fora. Details may include:

- student name (for students starting from 2015 onwards)
- aggregated numbers of students in particular regions, universities or departments in context of the Training Grant funding announced
- aggregated information regarding demographics, student numbers, stipend levels, qualifications, age at start and migration levels (from first degree university to another)

- the name of the lead Research Organisation and department
- registration and expected submission dates
- the names of Principal Investigators, Co-Investigators and Researchers, their departments and Research Organisations
- the names of any project partner organisations and supervisors
- the project title, a description of the research, technical and non-technical summary / abstract and impact summaries
- award value, dates and duration of the award (including any supplementary awards)
- the type of award and decision
- outcomes and publications resulting from awards.

UKRI may choose to disclose further information within legislation, for example in line with specific scheme objectives and guidance.

Freedom of Information Act 2000 (FOI) & Environmental Information Regulations 2004 (EIR)

UKRI has an obligation to respond to specific requests, including from the general public, made under FOI and EIR and may be required to disclose information.

In some cases, UKRI may consult the Research Organisation before disclosure, but it is under no obligation to do so. If a Research Organisation is holding information on UKRI's behalf, it will provide appropriate assistance to meet the obligation, but where a Research Organisation requests an exemption, the decision to disclose will remain the responsibility of UKRI.

Confidentiality

UKRI's grant application, peer review and award management mechanisms are confidential to protect information contained within grant proposals and to allow the free and frank exchange of views. UKRI undertakes to keep confidential all information in relation to a grant proposal, such as:

- the fact an application has been made
- name of the host research organisation
- details of applicants (title, forenames, initials, surname, ORCID identifier, research organisation and department)
- name(s) of project partner organisations
- project title
- technical and non-technical abstracts of the grant proposal, including all details of the science project and training programmes
- peer review information.

Confidential information is not released other than as required for operational purposes and within the peer review process, unless there is an overriding public interest. This obligation of confidentiality will not apply in the following circumstances, such as:

- where an application is approved and funded, the section above on publication and disclosure will apply
- when disclosure is required by law or by any regulatory body to which UKRI is subject
- where the information is already in the public domain or gets into the public domain through no fault of UKRI
- where the information was provided to UKRI by any third party with a lawful right to disclose it and who did not require UKRI to hold it in confidence
- where the information was already rightfully in UKRI's possession and not confidential at the time of its receipt.

UK Research and Innovation
Polaris House, Swindon SN2 1ET

T 01793 444 000
E info@ukri.org

www.ukri.org

Document control sheet

- **When creating the PDF, do not include this document control sheet**
- **To publish the addendum, send to UKRI website administrator to place at <https://www.ukri.org/files/funding/tcs/grants-addendum-pdf/>**
- **The above link is hard coded into Je-S so it can't change without a Change Request**

Version Control

Version Number	Revision Date	Author(s)	Summary of Changes
0.1	13/02/2019	Simon Thomson	To provide more transparency and to incorporate the newly developed UKRI Terms and Conditions structure
1.0	07/03/2019	Simon Thomson	Integrated fEC and Training into one document

Distribution for Review

Name/Group	Title/Function	Version	Review by
Lydia Fulford	Senior Research Funding Policy Manager	1.0	07/03/2019
Tony Kennedy	UKRI Funding Service – Systems Support Manager	1.0	07/03/2019
Mark Hinder	UKRI Head of Information Access	1.0	07/03/2019

Distribution for Approval

Name/Group	Approval provided by	Date approved
Mark Hinder	UKRI Head of Information Access	

Publication

Version	Effective from Date	Date of Approval	Owner	Author	Review Date
1.0	08/03/2019	07/03/2019	Mark Hinder, UKRI Head of Information Access	Simon Thomson, UKRI Information Governance	01/03/2020