



Nottingham Trent  
University

Governance and Legal Services

# Data protection policy

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## 1. Introduction

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Nottingham Trent University (NTU) is committed to protecting the privacy and security of personal information which includes the personal data of our colleagues, students and other third parties. This Data Protection Policy sets out the minimum standards which must be complied with by NTU.

NTU will use Personal Data in accordance with data protection and privacy laws applicable to the University including the Data Protection Act 2018 and the UK GDPR (each as amended, updated or re-enacted from time to time).

## 2. Scope

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This Policy sets out how NTU (which includes its subsidiary companies: Nottingham Conference Centre Ltd, Nottingham Consultants Ltd, Nottingham Law School Legal Advice Centre Ltd, and NTU Temporary Staff Ltd) (“we”, “our” or “us”) identifies and manages its Data Protection responsibilities in accordance with its legal and regulatory obligations.

It is important for employees and students of NTU (“you”, “your”) to understand the scope of the data protection legislation to enable us to comply with the legislation. This Policy sets out your responsibilities in relation to the data protection legislation, and applies to the entirety of NTU employees (including PhD students who are also employed by NTU), students and where appropriate third parties working for, or on behalf of, NTU. It is your responsibility to familiarise yourself with this Policy which explains how you should carry out your job/role or research activity to ensure compliance with the data protection legislation.

The UK GDPR applies to the Processing of Personal Data wholly or partly by automated means (electronically) and to the processing other than by automated means where Personal Data form, or are intended to form, part of a filing system. We have explained what this means in more detail below.

Some parts of the data protection legislation can sound quite technical and legal, particularly as a result of the various legal definitions and phrases that are used. We have therefore included a “Definitions of key terms used in this Policy” section to this Policy (page 15-16). Any questions about the interpretation or operation of this Policy should be addressed to the DPO / Information Compliance Team in the first instance at [DPO@ntu.ac.uk](mailto:DPO@ntu.ac.uk).

## 3. Regulatory Requirements

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This Policy has been drafted in compliance with the following regulatory requirements.

Regulatory Requirement	Status
Retained UK version of the General Data Protection Regulation ((EU) 2016/679) as defined in the Data Protection Act 2018 (UK GDPR)	UK Legislation
The Data Protection Act 2018	UK Legislation
Information Commissioner’s Office (ICO)	UK Independent Body and data protection regulator / guidance
The Freedom of Information Act 2000 (FOIA)	UK Legislation

## 4. Responsibilities

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### 4.1 University Executive Team (UET)

UET has overall responsibility to ensure NTU meets its legal and regulatory responsibilities under the UK GDPR, and to ensure compliance with this Policy.

### 4.2 Employees

We all use personal data in order to do our day to day role (for example to pay employees and to interact with and teach our students or to undertake research). It is important that the way we use (or Process) that personal data is compliant with the UK GDPR, together with the data protection legislation.

### 4.3 Data Protection Officer (DPO)

NTU has a DPO who oversees all data protection matters who can be contacted directly through [DPO@ntu.ac.uk](mailto:DPO@ntu.ac.uk).

## 5. Key Points of this Policy

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You must contact the DPO in the following circumstances:

If there has been an actual or suspected Personal Data Breach – please see the [reporting a data incident](#) section on MyHub (also see section 9.6.2);

If you are unsure of the lawful basis upon which you are processing Personal Data (including the legitimate interests used by NTU);

If you believe NTU's Privacy Notices are incorrect (our main privacy notices are available on our [website](#) and on the GDPR pages of [MyHub](#));

If you are unsure about the retention period for the Personal Data being Processed;

If you are unsure what security or other measures are necessary to adequately protect personal data (see section 9.6 on information security);

If a request from a Data Subject to invoke their rights has been received (see section 11);

Whenever engaging in a significant new, or change in, processing activity which is likely to require a Data Protection Impact Assessment (DPIA) or there is a plan to use Personal Data for purposes other than what it was collected for;

If you are planning to undertake any activities involving automated processing including profiling or automated decision-making; and/or

If you wish to enter into a contract or other activity involving the sharing of Personal Data with third parties (including our students and suppliers).

## 6. What is Personal Data?

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Personal Data, or personal information, means any information about an individual from which that person (a Data Subject) can be identified. It does not include data where sufficient elements have been removed so that the individual can no longer be identified (anonymous data). The information will be Personal Data if a person can be identified either directly or indirectly, in particular by reference to an identifier such as a name, an identification number, location data, an online identifier or to one or more factors specific to the physical, physiological, genetic, mental, economic, cultural or social identity of that person. For example personal data may include names, addresses, email addresses and telephone numbers; it may also include images in photographs or films and recorded telephone conversations.

We use Personal Data in relation to various types of Data Subject, including employees, students, potential students and applicants, business contacts, suppliers and contractors.

There are Special Categories of Personal Data to which additional safeguards apply. This means Special Category Personal Data needs to be treated even more carefully than Personal Data due to its sensitivity.

These special categories of Personal Data include information revealing racial or ethnic origin, political opinions, religious or similar beliefs, trade union membership, physical or mental health conditions, sexual life, sexual orientation, biometric or genetic data, and Personal Data relating to criminal offences and convictions.

## 7. What does Processing Personal Data mean?

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The data protection legislation only applies to the Processing of Personal Data.

Processing has a broad definition and includes almost anything we might do with Personal Data, including obtaining, recording, organising, structuring, holding, storing, using, disclosing and destroying Personal Data.

It is difficult to think of anything we do with Personal Data that is not Processing it.

## 8. Who is the Controller or the Processor?

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A **Controller** determines the purposes for which and the manner in which Personal Data is processed. For example, NTU is a Controller in respect of Personal Data we hold about you. NTU is also a Controller in respect of Personal Data we hold relating to students (e.g. their course details, their contact details, their educational record etc) and also the Personal Data we held about NTU's Alumni.

A **Processor** is any person who processes data on behalf of the Controller. A third party processing data on our behalf, as part of a service to NTU, is a Processor. We are required to put in place a written contract with any Processors we use, to make sure that they reach the same high standards of data protection as NTU. NTU, as the Controller will remain responsible for the use of any Personal Data that it passes to any Processor.

Anyone wishing to appoint a Processor, or is concerned that they are passing Personal Data or special categories of Personal Data onto a third party (i.e. a person or entity outside of NTU), should discuss this with the Legal Services Team to ensure that the arrangements being made are lawful.

While you are carrying out your role at NTU, you will not be classed as a Processor. However, if you act outside of your contract or role, you may become a Controller or Processor, and the legal obligations that fall to NTU as Controller could equally apply to you. You could also expose both yourself and NTU to fines and/or a claim for damages from the Data Subject if you have used Personal Data in a way that was incompatible with the data protection legislation.

This is another reason why it is really important for you to be aware of the importance of data protection.

If you have any concerns about this, please contact the DPO / Legal Services Team at [DPO@ntu.ac.uk](mailto:DPO@ntu.ac.uk).

## 9. The Data Protection Principles

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Anyone Processing personal data on behalf of the University must comply with the six principles of UK GDPR in order to be legally compliant. Personal Data must be:

1. Processed lawfully, fairly and in a transparent manner (**Lawfulness, Fairness and Transparency**);
2. Collected only for specified, explicitly and legitimate purpose (**Purpose Limitation**);
3. Adequate, relevant and limited to what is necessary in relation to the purposes for which it is Processes (**Data Minimisation**);
4. Accurate and where necessary kept up to date (**Accuracy**);
5. Not retained in a form which permits identification of Data Subjects for longer than is necessary for the purposes for which the data are Processed (**Storage Limitation**); and
6. Processed in a manner that ensures its security using appropriate technical and organisational measures to protect against unauthorised or unlawful Processing and against accidental loss, destruction or damage (**Security, Integrity and Confidentiality**).

We have explained these in more detail below as it is important that you understand how these principles work in order to ensure NTU's compliance with the legislation.

### 9.1 Lawfulness, Fairness and Transparency

Personal Data must be processed lawfully, fairly and in a transparent manner in relation to the Data Subject.

The UK GDPR only allows Processing for specific purposes. These are known as the lawful grounds of processing or the conditions of processing. You need to comply with one of these grounds to make the Processing lawful and in compliance with the data protection legislation. The most relevant are set out below:

- The Data Subject has given their Consent;
- The Processing is necessary for the performance of a contract with the Data Subject;
- To meet our legal compliance obligations;
- To protect the Data Subject's vital interests;
- To pursue our legitimate interests for purposes where they are not overridden because the Processing prejudices the interests or fundamental rights and freedoms of Data Subjects. NTU can only rely on legitimate interests when we are not carrying out a task as a public authority. This means we can only rely on "legitimate interests" in limited circumstances as the majority of what we do as a university are tasks carried out as a public authority. In the limited circumstances where we may be able to rely on legitimate interests, the purposes for which we process Personal Data must be set out in applicable Privacy Notices.

We have to identify at least one of the above legal grounds and document which one(s) we are relying on for each Processing activity (i.e. each bit of Processing that we do). If we cannot identify one of these legal grounds, we should not be doing that Processing.

If you have Processed Personal Data unlawfully, the UK GDPR gives individuals the right to erase data or restrict your processing of it.

### **9.1.1 Consent**

Consent is one of the legal grounds that we can rely on when we Process Personal Data.

- “Consent” must be freely given, specific and informed. It must be a clear indication of agreement either by a statement or positive action to the Processing by the Data Subject. Therefore silence, pre-ticked boxes or inactivity are unlikely to be sufficient.
- If Consent is given in a document which deals with other matters, then the Consent must be kept separate from those other matters.
- Data Subjects must be easily able to withdraw their Consent at any time. Any withdrawal must be promptly acted upon.
- Consent may need to be refreshed (i.e. updated) on a regular basis, particularly if NTU intends to Process Personal Data for a different and/or incompatible purpose which was not disclosed when the Data Subject first gave their Consent. For example if we collected a student’s Personal Data and we relied on their Consent to undertake various activities if we then wish to use that Personal Data for other activities, we cannot rely on the “original” Consent. We would either require new and/or updated Consent or to identify another legal ground to process their Personal Data.
- Consent must be evidenced and a record retained to enable us to demonstrate that we have obtained the right Consent for the right processing activities. This is part of the accountability principle.

### **9.1.2 Transparency (notifying data subjects)**

- Controllers must provide detailed, specific information to Data Subjects depending on whether the information was collected directly from Data Subjects or from elsewhere. Such information is provided through appropriate Privacy Notices or Fair Processing Notices (the two terms are used interchangeably) which must be concise, transparent, intelligible, easily accessible, and in clear and plain language so that a Data Subject can easily understand them.
- The Privacy Notice must include the identity of the Controller (i.e. NTU) and our DPO. It also sets out information such as how and why we will use, Process, disclose, protect and retain Personal Data.
- It is important that the Privacy Notice is given at the right time – where we are collecting Personal Data directly from a Data Subject, this is when the Data Subject first provides the Personal Data to NTU.
- When Personal Data is collected indirectly (for example, from a third party or publicly available source), we must provide the Data Subject with all the information required by the UK GDPR as soon as possible after collecting/receiving the Personal Data. We must also check that the Personal Data was collected by the third party in accordance with the UK GDPR and on a basis which considers our proposed Processing of that Personal Data i.e. that the individual knew that their Personal Data was going to be passed to us and for what purpose.

- This means that all the third parties that we work with who Process Personal Data collected by NTU should also comply with the UK GDPR.

## 9.2 Purpose Limitation

- Personal Data must be collected only for specified, explicit and legitimate purposes.
- It must not be further processed in any manner incompatible with those purposes. In practice this means that we must be clear from the outset why we are collecting personal data and what we intend to do with it.
- We cannot use Personal Data for new, different or incompatible purposes from those disclosed to the Data Subject when it was first obtained. Therefore, if we collect Personal Data for one purpose, we shouldn't then use it for another purpose unless we tell the Data Subject what we are going to do and we have a legal ground to undertake that Processing.

## 9.3 Data Minimisation

- Personal Data must be adequate, relevant and limited to what is necessary in relation to the purposes for which it is processed.
- We may only collect Personal Data that is required for our job role and duties: do not collect excessive data. You cannot Process Personal Data for any reason unrelated to your job role.
- When Personal Data is no longer needed for specified purposes, it must be deleted or anonymised in accordance with our data retention guidelines.
- Please refer to our [Data Retention Schedule](#) for further information about how long we keep certain records for.
- Safe and secure destruction is also required to comply with data protection legislation.

## 9.4 Accuracy

- Personal Data must be accurate and, where necessary, kept up-to-date.
- Personal Data must be corrected or deleted without delay when inaccurate.
- Personal Data must be relevant to the purpose for which we collected it.
- NTU must check the accuracy of any Personal Data at the point of collection and at regular intervals afterwards.
- Employees and students must ensure that they keep NTU updated with regard to any change of circumstances.
- NTU must take all reasonable steps to destroy or amend inaccurate or out-of-date Personal Data.

## 9.5 Storage Limitation

- NTU must not keep Personal Data in a form where the Data Subject could be identified for longer than needed for the purpose or purposes for which we originally collected it (including for the purpose of satisfying any legal, accounting or reporting requirements).

- We will maintain the Data Retention Schedule to ensure Personal Data is deleted after a reasonable time for the purposes for which it was being held unless a law requires such data to be kept for a minimum time.
- You must comply with our Data Retention Policy/Schedule.
- NTU must ensure Data Subjects are informed of the period for which data are stored and how that period is determined in any applicable Privacy Notice or Fair Processing Notice.

## 9.6 Security, Integrity and Confidentiality

### 9.6.1 Protecting Personal Data

- Personal Data must be secured by appropriate technical and organisational measures against unauthorised or unlawful Processing, and against accidental loss, destruction or damage.
- We will develop, implement and maintain safeguards appropriate to our size, scope and business, our available resources, the amount of Personal Data that we own or maintain on behalf of others and identified risks (including use of encryption and Pseudonymisation where applicable).
- We will regularly evaluate and test the effectiveness of safeguards to ensure the security of our Processing of Personal Data.
- You are responsible for helping NTU protect the Personal Data we hold.
- You must comply with NTU's security measures against unlawful or unauthorised Processing of Personal Data and against the accidental loss of, or damage to, Personal Data.
- You must exercise particular care in protecting Special Category Personal Data from loss and unauthorised access, use or disclosure.
- You must follow all procedures and technologies we put in place to maintain the security of all Personal Data from the point of collection to the point of destruction. These include our Information Classification Policy, Computer Use Regulations, Bring Your Own Device Policy, Cloud Computing Policy and Guidelines, and the Data Retention Schedule which can be found on the GDPR pages and generally within MyHub. In addition there are several guidance documents and FAQs on the [GDPR pages of MyHub](#).
- If you fail to comply with NTU's security measures (either intentionally or inadvertently), this may lead to disciplinary action, particularly where there is a serious breach of Personal Data or where there is evidence of negligence. This reflects the importance of keeping Personal Data secure.
- NTU may only transfer Personal Data to third-party service providers who agree to comply with the required policies and procedures and who agree to put adequate measures in place, as requested. This is to make sure that those third parties adhere to NTU's high standards in relation to the security of Personal Data.
- If you are transferring Personal Data to a third party, or if you want to transfer Personal Data to a third party, and you are in any doubt as to whether there is a lawful basis or appropriate contract in place, you should speak to the Legal Services team before transferring the Personal Data.

- You must maintain data security by protecting the confidentiality, integrity and availability of the Personal Data, defined as follows:
  - Confidentiality means that only people who have a need to know and are authorised to use the Personal Data can access it. This means if you have access to Personal Data but it is not part of your job or role to access or Process such Personal Data, you should not do so.
  - Integrity means that Personal Data is accurate and suitable for the purpose for which it is processed.
  - Availability means that authorised users are able to access the Personal Data when they need it for authorised purposes. This means that you should not access or use any Personal Data if you are not permitted to.
- You must comply with, and not attempt to circumvent, the administrative, physical and technical safeguards we implement and maintain in accordance with the UK GDPR and relevant standards to protect Personal Data.
- Some of the safeguards we have in place to protect your Personal Data, students' Personal Data and other categories of Personal Data include:
  - Access restrictions to internal systems;
  - Approved (permissions based) access to data relevant to your role;
  - Card Access Building Security across the University;
  - Encrypted portals for data transfer and password protection facilities;
  - Unique user and password issued to each individual at NTU; and
  - Secure remote access to internal systems.

### 9.6.2 Reporting a Personal Data Breach

The UK GDPR requires Controllers to notify any Personal Data Breach to the applicable Regulator and, in certain instances, the Data Subject.

We have put in place procedures to deal with any suspected Personal Data Breach and will notify Data Subjects and/or any applicable regulator where we are legally required to do so. This can be found in the [Data Breach Policy and Procedure](#).

If you know or suspect that a Personal Data Breach has occurred, do not attempt to investigate the matter yourself. Immediately report the matter to the DPO via our [data incident form](#) or contact the DPO at [DPO@ntu.ac.uk](mailto:DPO@ntu.ac.uk).

***The UK GDPR requires all organisations to report certain types of Personal Data Breach to the ICO. NTU must do this within 72 hours of becoming aware of the breach.***

Common examples of events leading to Personal Data Breaches include (but are not limited to):

- misdirected email correspondence or documents;
- misplacing or theft of paperwork;
- inadequate disposal of information;
- leaving IT equipment unattended when logged-in to a user account without locking the screen to stop others accessing information;
- loss or theft of laptop or mobile device;
- CDs/USBs missing in post;
- physical security e.g. forcing of doors or windows into secure area or restricted information left unsecured in accessible area;
- unauthorised use of a NTU login and password;
- attempts to gain unauthorised access to NTU systems and information i.e. hacking;
- virus or other malicious (suspected or actual) security attack on IT equipment systems or networks; or

- disruption to, failure or loss of access to information or services due to (non-exclusive list) fire, flood, power outage, cyber-attack or theft.

You should preserve all evidence relating to the potential Personal Data Breach, including, but not limited to, emails or other correspondence, logs or screen shots, and complete the breach form with as much detail as possible.

If you fail to report a Personal Data breach in accordance with the Data Breach Policy, this could lead to disciplinary action against you. Compliance with this policy is critical to ensure that any Personal Data breach is dealt with carefully and promptly to protect the Personal Data of Data Subjects.

## 10. Data Sharing and Data Transfer

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### 10.1 Data Sharing

Generally we are not allowed to share Personal Data with third parties unless certain safeguards and contractual arrangements have been put in place.

You may only share the Personal Data we hold with another employee, agent or representative of NTU (which includes our subsidiaries) if the recipient has a job-related need to know the information and the transfer complies with any applicable cross-border transfer restrictions (see the section on International transfers below for more information on this).

You may only share the Personal Data we hold with third parties, such as our service providers if:

- They have a need to know the information for the purposes of providing the contracted services;
- Sharing the Personal Data complies with the Privacy Notice provided to the Data Subject and, if required, the Data Subject's Consent has been obtained;
- The third party has agreed to comply with the required data security standards, policies and procedures and put adequate security measures in place;
- The transfer complies with any applicable cross border transfer restrictions; and
- A fully executed written contract that contains UK GDPR approved third party clauses has been obtained (or another lawful basis has been identified and approved).

As above, if you are transferring Personal Data to a third party, or if you want to transfer Personal Data to a third party, and you are concerned that there may not be an appropriate contract in place or are uncertain as to the legal basis upon which the Personal Data is being transferred, you should speak to the Legal Services Team by contacting [DPO@ntu.ac.uk](mailto:DPO@ntu.ac.uk).

### 10.2 International Data Transfers (transferring data outside the UK)

The UK GDPR restricts data transfers to countries outside the United Kingdom in order to ensure that the level of data protection afforded to individuals by the UK GDPR is not undermined.

You can only carry out a restricted transfer of Personal Data originating in one country across borders when:

- you transmit, send or permit access to that data in or to a different country; and
- the recipient is not employed by the same legal entity as the person sending the Personal Data or making available the Personal Data.

This means that NTU may only transfer Personal Data outside the UK if one of the following conditions applies:

- There are UK 'adequacy regulations' in relation to the country or territory where the receiver is located or a sector which covers the receiver; or
- Appropriate safeguards are in place, such as: binding corporate rules (BCR); standard contractual clauses issued by the Information Commissioner's Office; an approved code of conduct; or a certification mechanism applies.

Before NTU may rely on an appropriate safeguard to make a restricted transfer, it must be satisfied that the Data Subjects of the transferred data will continue to have a level of protection essentially equivalent to that under the UK data protection regime with the appropriate safeguards in place (such as standard contractual clauses). We do this by undertaking a risk assessment, which takes into account the protections contained in that appropriate safeguard and the legal framework of the destination country (including laws governing public authority access to the data).

A restricted transfer that is not covered by UK 'adequacy regulations', nor an appropriate safeguard, can only take place if it is covered by one of the limited 'exceptions' set out in Article 49 of the UK GDPR, which are:

- The Data Subject has provided Consent to the proposed transfer after being informed of any potential risks; or
- The transfer is necessary for one of the other reasons set out in the UK GDPR, including the performance of a contract between us and the Data Subject (this exception can only be used for occasional restricted transfers, not regular ones), reasons of public interest, to establish, exercise or defend legal claims or to protect the vital interests of the Data Subject where the Data Subject is physically or legally incapable of giving Consent and, in some limited cases, for our legitimate interest.

If you are transferring Personal Data outside of the UK or if you want to transfer Personal Data outside the UK, you **must** speak to the Legal Services Team and/or the DPO to ensure that an appropriate legal arrangement is in place.

The Legal Services Team can be contacted at: [Legalservices@ntu.ac.uk](mailto:Legalservices@ntu.ac.uk)

The DPO can be contacted at: [DPO@ntu.ac.uk](mailto:DPO@ntu.ac.uk)

## 11. Data Subjects' Rights and Requests

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Data Subjects have rights when it comes to how we handle their Personal Data. These include rights to:

- Withdraw Consent to Processing at any time;
- Receive certain information about the Controller's Processing activities;
- Request access to their Personal Data that we hold;
- Prevent our use of their Personal Data for direct marketing purposes;
- Ask us to erase Personal Data if it is no longer necessary in relation to the purposes for which it was collected or processed or to rectify inaccurate data or to complete incomplete data;
- Restrict Processing in specific circumstances;
- Challenge processing which has been justified on the basis of our legitimate interests or in the public interest;
- Request a copy of an agreement under which Personal Data is transferred outside of the UK;
- Prevent Processing that is likely to cause damage or distress to the Data Subject or anyone else;

- Be notified of a Personal Data Breach which is likely to result in high risk to their rights and freedoms;
- Make a complaint to the supervisory authority; and
- In limited circumstances, receive or ask for their Personal Data to be transferred to a third party in a structured, commonly used and machine readable format.

NTU must verify the identity of an individual requesting data under any of the rights listed above (do not allow third parties to persuade you into disclosing Personal Data without proper authorisation).

You must immediately forward any Data Subject request you receive to the Legal Services Team and comply with NTU's [Data Subject Access Request Policy](#).

## 12. Accountability

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The Controller must implement appropriate technical and organisational measures in an effective manner, to ensure compliance with data protection principles. The Controller is responsible for, and must be able to demonstrate, compliance with the data protection principles.

- This means that we must have adequate resources and controls in place to ensure and to document UK GDPR compliance including:
- Appointing a suitably qualified DPO (where necessary) and an executive accountable for data privacy;
- Implementing Privacy by Design and Default when Processing Personal Data and completing DPIAs where Processing presents a high risk to rights and freedoms of Data Subjects;
- Integrating data protection into internal documents including this Data Protection Policy, Privacy Notices or Fair Processing Notices;
- Providing regular training on the UK GDPR and the provisions of this Data Protection Policy,. We must maintain a record of training attendance by NTU employees; and
- Regularly testing the privacy measures implemented and conducting periodic reviews and audits to assess compliance, including using results of testing to demonstrate compliance improvement effort.

## 13. Record Keeping

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The UK GDPR requires us to keep full and accurate records of all our data Processing activities. NTU must keep and maintain accurate corporate records reflecting our Processing including records of Data Subjects' Consents and procedures for obtaining Consents.

These records should include, at a minimum, the name and contact details of the Controller and the DPO, clear descriptions of the Personal Data types, Data Subject types, Processing activities, Processing purposes, third-party recipients of the Personal Data, Personal Data storage locations, Personal Data transfers, the Personal Data's retention period and a description of the security measures in place.

In order to create such records, a record of processing should be created which should include the detail set out above together with appropriate data flows.

### 13.1 Training and Audit

We are required to ensure that all employees, workers, contractors, agency workers, consultants, directors, members and other individuals who work for and/ or are employed by

NTU have completed adequate training to enable them to comply with the data protection legislation. We must also regularly test our systems and processes to assess compliance.

Employees must undertake all mandatory data privacy related training, which is available online, and ensure members of their team undertake the mandatory online training **every 2 years**.

You must regularly review all the systems and processes under your control to ensure they comply with this Data Protection Policy and check that adequate governance controls and resources are in place to ensure proper use and protection of Personal Data.

## **14. Data Protection Impact Assessments (DPIA)**

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We are required to implement ***Privacy by Design and Default*** measures when Processing Personal Data by implementing appropriate technical and organisational measures in an effective manner, to ensure compliance with data protection principles.

NTU must assess what Privacy by Design measures can be implemented on all programs/systems/processes that Process Personal Data by taking into account the following:

- The nature, scope, context and purposes of Processing; and
- The risks of varying likelihood and severity for rights and freedoms of Data Subjects posed by the Processing.

NTU should conduct a DPIA when implementing major system or business change programs involving the Processing of Personal Data including:

- Use of new technologies (programs, systems or processes), or changing technologies (programs, systems or processes);
- Large scale Processing of Sensitive Data; and
- Large scale, systematic monitoring of a publicly accessible area.

### **14.1 A DPIA must include**

- A description of the Processing, its purpose and the Controller's legitimate interests if appropriate;
- An assessment of the necessity and proportionality of the Processing in relation to its purpose;
- An assessment of the risk to individuals; and
- The risk mitigation measures in place and demonstration of compliance.

If you are responsible for the implementation or management of a new project that may require a DPIA, you should speak to the DPO in the first instance to ascertain whether a DPIA should be undertaken. If a DPIA is required, you must ensure that this is completed before the commencement of the project, with the assistance of the DPO/Legal Services Team.

## **15. Direct Marketing**

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We are subject to certain rules and privacy laws when providing marketing to our students, our alumni and other Data Subjects.

For example, a Data Subject's prior consent is required for electronic direct marketing (for example, by email, text or automated calls). The limited exception for existing students known as "soft opt in" allows us to send marketing texts or emails if: we have obtained contact details whilst that individual was undertaking a course at the University; we are marketing similar

products or services, and we provided the person an opportunity to opt out of marketing when first collecting the details and in every subsequent message.

The right to object to direct marketing must be explicitly offered to the Data Subject in an intelligible manner so that it is clearly distinguishable from other information.

A Data Subject's objection to direct marketing must be promptly acted upon. If a student, alumni member or other Data Subject opts out at any time, their details should be suppressed as soon as possible. Suppression involves retaining just enough information to ensure that marketing preferences are respected in the future.

NTU should not undertake direct marketing to any individual who is not an existing student or has an existing commercial relationship with NTU without their Consent.

If you undertake direct marketing as part of your role, you must also familiarise yourself with the Marketing Data Use Procedure and the Direct Marketing Unsubscribe Procedure – available from Communications, Admissions, Marketing and Student Recruitment (CAMS).

## 16. Escalation and Penalties

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Breaching the UK GDPR can lead to fines and/or claims for compensation. There is also a reputational risk of negative publicity for NTU and risks to our other colleagues and students. For these reasons, if you fail to comply with the requirements of this policy, you may be subject to disciplinary action.

Data breaches must be notified to the Information Commission Office within 72 hours of the breach incident (when the breach happens). There is also a requirement to inform the data subject where the breach poses a high risk to their rights and freedoms.

Violations regarding record-keeping, security, breach notification, and privacy impact assessment obligations, can result in a penalty of up to £8.7 million or 2% of global gross revenue, whichever is greater.

More serious violations related to lawful processing of personal data such as consent, data subject rights and cross-border data transfers, can result in a penalty of up to £17.5 million or 4% of global gross revenue, whichever is greater.

Please see the [Breach Notification Policy and Procedure](#).

## 17. Definitions of key terms used in this Policy

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There are lots of terms in this Data Protection Policy which come from the data protection legislation. The following terms have the following meaning:

**You:** all employees, workers, contractors, agency workers, consultants, directors, members and other individuals who work for and/ or are employed by NTU, and students of NTU.

**Consent:** agreement which must be freely given, specific, informed and be an unambiguous indication of the Data Subject's wishes by which they, by a statement or by a clear positive action, signifies agreement to the Processing of Personal Data relating to them.

**Controller:** the person or organisation that determines when, why and how to process Personal Data. It is responsible for establishing practices and policies in line with the UK GDPR.

**Data Subject:** a living, identified or identifiable individual about whom we hold Personal Data. Data Subjects may be nationals or residents of any country and may have legal rights regarding their Personal Data.

**Data Privacy Impact Assessment (DPIA):** tools and assessments used to identify and reduce risks of a data processing activity. DPIA can be carried out as part of Privacy by Design and should be conducted for all major system or business change programs involving the Processing of Personal Data.

**Personal Data:** any information relating to an identified or identifiable natural, living, person (Data Subject). An identifiable natural person is someone who can be identified, directly or indirectly, in particular by reference to an identifier such as a name, an identification number, location data, an online identifier or to one or more factors specific to the physical, physiological, genetic, mental, economic, cultural or social identity of that person. Personal Data can be factual (for example, a name, email address, location or date of birth) or an opinion about that person's actions or behaviour.

**Personal Data Breach:** any act or omission that compromises the security, confidentiality, integrity or availability of Personal Data or the physical, technical, administrative or organisational safeguards that we or our third-party service providers put in place to protect it. The loss, or unauthorised access, disclosure or acquisition, of Personal Data is a Personal Data Breach.

**Privacy by Design:** implementing appropriate technical and organisational measures in an effective manner to ensure compliance with the UK GDPR.

**Privacy Notices (also referred to as Fair Processing Notices):** separate notices setting out information that may be provided to Data Subjects when NTU collects information about them. These notices may take the form of general privacy statements applicable to a specific group of individuals (for example, employee privacy notices or the website privacy policy) or they may be stand-alone, one time privacy statements covering Processing related to a specific purpose.

**Processing or Process:** any activity that involves the use of Personal Data. It includes obtaining, recording or holding the data, or carrying out any operation or set of operations on the data including organising, amending, retrieving, using, disclosing, erasing or destroying it. Processing also includes transmitting or transferring Personal Data to third parties.

**Pseudonymisation or Pseudonymised:** replacing information that directly or indirectly identifies an individual with one or more artificial identifiers or pseudonyms so that the person, to whom the data relates, cannot be identified without the use of additional information which is meant to be kept separately and secure.

**UK GDPR:** has the meaning given to it in section 3(10) (as supplemented by section 205(4)) of the Data Protection Act 2018. Personal Data is subject to the legal safeguards specified in the UK GDPR

## 18. Changes to this Policy

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We reserve the right to change this Data Protection Policy at any time so please check back regularly to obtain the latest copy of this Data Protection Policy. We will notify you when we update this Policy.